

Cotton



Potato



Spices



Gold



Copper



Crude Oil



Welcome to

MULTIGAIN

Multigain Commodities Services Pvt. Ltd.

CLIENT KIT

www.multigain.in

Registration Kit No. :

GROUP MEMBERSHIP :





Multigain Commodities Services Pvt. Ltd.

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

Membership No.: 9080 • FMC Code No.: MCX/TM/CORP/1694

Member : National Commodity & Derivatives Exchange Ltd. (NCDEX)

Membership No.: 0926 • FMC Code No.: NCDEX/TM/CORP/0903

Member : National Multi Commodity Exchange of India Ltd. (NMCE)

Membership No.: CL0364 • FMC Code No.: NMCE/TCM/CORP/0289

Member : Indian Commodity Exchange Ltd. (ICEX)

Membership No.: 1038 • FMC Code No.: ICEX/TM/CORP/0037

Member : ACE Derivatives and Commodity Exchange Ltd. (ACE)

Membership No.: 6152 • FMC Code No.: ACEL/TCM/CORP/0333

Member : National Spot Exchange Ltd. (NSEL) Membership No.: 12400

Member : NCDEX Spot Exchange Ltd. Membership No.: A/F

CDSL MEMBER ID : 12070400

Regd. Office : H-50, Lajpat Nagar, **Moradabad**-244001 (U.P.), Ph.: 0591-2490400/500, 6456733

Corp. Office : 126, Pocket-1, Jasola Vihar, Near Living Style Mall, **New Delhi**-110025, Ph.: 8826688915, 9873165807

Regional Off.-I : Gala No. 203, 2nd Floor, Lok Centre, Marol, Andheri (East), **Mumbai**-59, Ph.: 022-67252051/52

Regional Off.-II : Saran Chamber-2, Ground Floor, Office No. 1, 5 Park Road, **Lucknow**, Ph.: 0522-4010803/04/05

Regional Off.-III : Unit No. 101, 1st Floor, Pentagon Building, Frazer Town, **Bangalore**, Ph.: 080-25480073

Regional Off.-IV : 402, Vishal Chambers, Sector-18, **Noida**-201301 (Delhi NCR), Ph.: 0120-4567735-38/4226383-84

E-mail : info@multigain.in

Website : www.multigain.in

Compliance Officer

KAMAL KUMAR KHANNA

Ph.: 0591-2490400

Email : compliance@multigain.in

MD & CEO

KHALID ALI

Ph.: 0591-2490500

Email : ceo@multigain.in

For any grievance/dispute please contact **MULTIGAIN COMMODITIES SERVICES PVT. LTD.** at the above address or email id- info@multigain.in and Phone No. +91-91-2490400. In case not satisfied with the response, please contact the concerned exchange(s) at (NCDEX) askus@ncdex.com and Phone No. +91-22-66406084, (MCX) grievance@mcxindia.com and Phone No. +91-22-67318888, (ACE) igc@aceindia.com and Phone No. +91-22-66709200, (ICEX) info@icexindia.com and Phone No. +91-22-30849700, (NMCE) grievance@nmce.com and Phone No. +91-79-40086037.

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA):- List of documents admissible as Proof of Address:

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

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
5. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
6. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

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

Types of entity	Documentary Requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in 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 commodity market. • Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in commodity derivatives on behalf of company/firm/others and their specimen signatures.
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. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

INDEX OF DOCUMENTS

MANDATORY DOCUMENTS AS PRESCRIBED BY FMC & EXCHANGES

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	KYC / Account Opening Form	KYC Form - Document captures the basic information about the constituent and an instruction/check list.	1-10
2.	Uniform Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the commodities market.	11-13
3.	Rights and Obligations of Members, Authorized Persons and Clients.	Document stating the Rights & Obligations of member, Authorized Person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	14-17
4.	Guidance Note-Do's and Don'ts for the clients	Guidance Note for dealing in commodities market.	18-19
5.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charged levied on the client for trading on the Commodity Exchange(s).	20
6.	Disclosure Information	Pro-Account Disclosure Information	20

VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Appendix - A Electronic Contact Note (ECN)	Document to authorize to send all contract note/bills, statement of account/ ledger in digital/electronic form on designated email id by client.	21
2.	Running Account Authorisation	Helps the client to enjoy exposures linked to the credit in the trading account.	22
3.	Authorisation for Pledge, Authorised Person & Verbal Order Instruction	To authorise the trading member to pledge/verbal order instruction the shares of client.	23
4.	Adjustment in Different Exchanges / Accounts	Declaration for Adjustment of Balance in Different Exchanges and for being abide by the Rules, Bye-laws, regulations and Circulars of the Exchanges.	24
5.	Standing Instructions	For Smooth Functioning of Account	25-26
6.	Declaration	Declaration	27
7.	Undertaking to act in own capacity	Undertaking	28
8.	Notice on Important Issue	Declaration	29



Multiplying Your Money - Ethically

MANDATORY DOCUMENTS

KNOW YOUR CLIENT (KYC) APPLICATION FORM (FOR INDIVIDUALS)

Note: The information to be given in the form, is the sole property of **MULTIGAIN COMMODITIES SERVICES PVT. LTD.** and would not be disclosed to anyone unless required by law or except with the express permission of the client.

Please affix
your recent
passport size
photograph
duly signed
across

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

A. IDENTITY DETAILS

Name of the Applicant																														
Father's/Spouse Name																														
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female										Marital Status										<input type="checkbox"/> Single <input type="checkbox"/> Married									
Date of Birth											Nationality :										<input type="checkbox"/> Indian <input type="checkbox"/> Others _____									
Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National (If Non Resident / Foreign National, self certified copy of statutory approval obtained must be attached)																													
Permanent Account No. (PAN)																														
Unique Identification Number (UID) / Aadhaar, if any :																														
Any other additional proof of Identity																														

B. ADDRESS DETAILS

Address for Correspondence																				
	City/Distt./Village										State									
	Country										Pin Code									
Contact Details	Tel.: (O)										Tel. (R)									
	Mobile										Fax									
	E-mail																			
	Specify the proof of address submitted for correspondence address																			
Permanent Address (If different from above)																				
	City/Distt./Village										State									
	Country										Pin Code									
Contact Details	Tel.: (R)										Fax									
	Mobile										Fax									
	E-mail																			
	Specify the proof of address submitted for Permanent address																			

C. 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"/> >25 Lac OR
Net-Worth as on	(date)..... (Rs.) (Net worth should not be older than 1 year)
Occupation (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Farmer <input type="checkbox"/> Others
Please tick, as applicable	<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)

D. 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 - in case of NRI / NRE / NRO		

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







E. DEPOSITORY ACCOUNT(S) DETAILS, if available

Depository Participant Name	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			

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

F. TRADING PREFERENCES

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

Sr. No.	Name of the National Commodity Exchanges	Date of consent for trading on concerned Exchange	Signature of the Client
1.	MCX		
2.	NCDEX		
3.	NMCE		
4.	ICEX		
5.	ACE		
6.	NSEL		

[In case of allowing a client for trading on any other Exchange at the 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]

G. INVESTMENT / TRADING EXPERIENCE

<input type="checkbox"/>	No Prior Experience
<input type="checkbox"/>	_____ Years in Commodities
<input type="checkbox"/>	_____ Years in other investment related fields

H. SALES TAX REGISTRATION DETAILS (As applicable, State wise)

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

I. VAT DETAILS (As applicable, State wise)

Local VAT Registration No.		Validity Date	
Name of the State			
Other VAT Registration No.		Validity Date	
Name of the State			

J. PAST REGULATORY ACTIONS

Details of any action/proceedings initiated/pending/taken by FMC / SEBI / Stock Exchange / Commodity Exchange / Any other authority against the client during the last 3 years : <hr/> <hr/>

K. DEALING THROUGH OTHER MEMBERS

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

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

L. INTRODUCER DETAILS (optional)

Name of the introducer																			
Status of the Introducer	<input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others_____																		
Address and Phone No. of the Introducer																			
									Sign. of the Introducer										

M. 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>
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N. NOMINATION DETAILS

<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										Date of Birth of Nominee									
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																			
Sign. 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, if any.

Place	
Date	

 1

Client Signature

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

	Document verified with Originals by	In Person Verification done by
Name of the Employee		
Employee Code		
Designation of the Employee		
Date		
Signature		

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

For **MULTIGAIN COMMODITIES SERVICES PVT. LTD.**_____
Signature of the Authorised Signatory

Date _____

Seal / Stamp of the Member

KNOW YOUR CLIENT (KYC) APPLICATION FORM (FOR NON-INDIVIDUALS)

Note: The information to be given in the form, is the sole property of **MULTIGAIN COMMODITIES SERVICES PVT. LTD.** and would not be disclosed to anyone unless required by law or except with the express permission of the client.

Please affix
your recent
passport size
photograph
duly signed
across

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

A. IDENTITY DETAILS

Name of the Applicant																				
Date of incorporation																				
Place of incorporation																				
Date of Commencement of Business																				
Permanent Account Number (PAN)																				
Registration No. (e.g. CIN)																				
Any other additional proof of identity																				
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"/> HUF <input type="checkbox"/> LLP <input type="checkbox"/> Others _____ (In case of foreign entity or entity with foreign shareholders, self certified copy of statutory approval obtained must be attached)																			

B. ADDRESS DETAILS

Address for Correspondence																				
	City/Dist./Village															State				
	Country					Pin Code														
Contact Details	Tel.: (O)										Tel. (R)									
	Mobile										Fax									
	E-mail																			
Specify the proof of address submitted for correspondence address																				
Registered Address (If different from above)																				
	City/Dist./Village															State				
	Country					Pin Code														

Contact Details	Tel.: (R)																		
	Mobile																		
	E-mail																		
Specify the proof of address submitted for Registered address																			

C. 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
Net-worth as on	(date)..... (Rs.) (Net worth should not be older than 1 year)

Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and whole time directors :

Name (1)																			Photographs of Promoters/Partners/ Karta/ Trustees and whole time directors & authorised signatories	
Designation											PAN									
Residential Address																				
											Pin Code									
DIN						DPIN						UID								

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:

☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (PEP)

Any Other Information																		
-----------------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Name (2)																			Photographs of Promoters/Partners/ Karta/ Trustees and whole time directors & authorised signatories	
Designation											PAN									
Residential Address																				
											Pin Code									
DIN						DPIN						UID								

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:

☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (PEP)

Any Other Information																		
-----------------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Name (3)																			Photographs of Promoters/Partners/ Karta/ Trustees and whole time directors & authorised signatories	
Designation											PAN									
Residential Address																				
											Pin Code									
DIN						DPIN						UID								

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:

☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (PEP)

Any Other Information																		
-----------------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

D. 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 - in case of NRI / NRE / NRO		

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







E. DEPOSITORY ACCOUNT(S) DETAILS, if available

Depository Participant Name	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																	

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

F. TRADING PREFERENCES

*Please sign in the relevant boxes with which Exchange 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
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2.	NCDEX		
3.	NMCE		
4.	ICEX		
5.	ACE		
6.	NSEL		

[In case of allowing a client for trading on any other Exchange at the 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]

G. INVESTMENT / TRADING EXPERIENCE

<input type="checkbox"/> No Prior Experience <input type="checkbox"/> _____ Years in Commodities <input type="checkbox"/> _____ Years in other investment related fields
--

H. SALES TAX REGISTRATION DETAILS (As applicable, State wise)

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

I. VAT DETAILS (As applicable, State wise)

Local VAT Registration No.		Validity Date	
Name of the State			
Other VAT Registration No.		Validity Date	
Name of the State			

J. PAST REGULATORY ACTIONS

Details of any action/proceedings initiated/pending/taken by FMC / SEBI / Stock Exchange / Commodity Exchange / Any other authority against the client or its Partners/promoters/whole time directors/authorized persons in charge during the last 3 years :

K. DEALING THROUGH OTHER MEMBERS

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

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

L. INTRODUCER DETAILS (optional)

Name of the introducer																												
Status of the Introducer	<input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others _____																											
Address and Phone No. of the Introducer																												
														Sign. of the Introducer														

M. ADDITIONAL DETAILS

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

Place	
-------	--

Date	
------	--

 1

Client Signature

Form need to be signed by all the authorized signatories.*FOR OFFICE USE ONLY**

UCC Code allotted to the Client : _____

	Document verified with Originals by	In Person Verification done by
Name of the Employee		
Employee Code		
Designation of the Employee		
Date		
Signature		

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

For **MULTIGAIN COMMODITIES SERVICES PVT. LTD.**_____
Signature of the Authorised Signatory

Date _____

Seal / Stamp of the Member

ANNEXURE-2

RISK DISCLOSURE DOCUMENT

The Exchange does not expressly or impliedly, guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure documents nor has the Exchange endorsed or passed any merits of participating in the Commodity Derivatives market/trading. This brief statement does not disclose all of the risks and other significant aspects of trading. You should, therefore, study derivatives trading carefully before becoming involved in it.

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

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

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

It must be clearly understood by you that your dealings on the Exchange through a member shall be subject to your fulfilling certain formalities set out by the member, which may, *inter alia*, include your filing the know your client form, client registration form and are subject to Rules, Byelaws and Business Rules of the Exchange guidelines prescribed by FMC from time to time and circulars as may be issued by the Exchange from time to time.

The Exchange does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any member of the Exchange and/ or third party based on any information contained in this document. Any information contained in this document must not be construed as business advice/investment advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade, you should be aware of or must get acquainted with the following:-

1. **Basic Risks involved in the trading of Commodity Futures Contracts and other Commodity Derivatives Instruments on the Exchange.**

i. **Risk of Higher Volatility**

- a. Volatility refers to the dynamic changes in price that commodity derivative contracts undergo when trading activity continues on the Commodity Exchange. Generally, higher the volatility of a commodity derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded commodity derivatives contracts than in actively traded commodities/ contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in real losses.

ii. **Risk of Lower Liquidity**

- a. Liquidity refers to the ability of market participants to buy and/ or sell commodity derivative contract expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the number of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/ or sell commodity derivatives contracts swiftly and with minimal price difference and as a result, investors are more likely to pay or receive a competitive price for commodity derivative contracts purchased or sold. There may be a risk of lower liquidity in some commodity derivative contracts as compared to active commodity derivative contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be execute at all.
- b. Buying/ Selling without intention of giving and/ or taking delivery of certain commodities may also result into losses, because in such a situation, commodity derivative contracts may have to be squared-off at a low/ high prices, compared to the expected price levels, so as not to have any obligation to deliver/ receive such commodities.

iii. **Risk of Wider Spreads**

- a. Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a commodity derivative and immediately selling it or *vice versa*. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid commodities/ commodity derivatives contracts. This in turn will hamper better price formation.

iv. Risk-reducing orders

- a. Most of the Exchanges have a facility for investors to place “limit orders”, “stop loss orders” etc. Placing of such orders (e.g. “stop loss” orders or “limit” orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.
- b. A “market” order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that while the customer may receive a prompt execution of a “market” order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that commodity derivatives contract.
- c. A “limit” order will be executed only at the “limit” price specified for the order or a better price. However, while the client received price protection, there is a possibility that the order may not be executed at all.
- d. A stop loss order is generally placed “away” from the current price of a commodity derivatives contract, and such order gets activated if and when the contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the contract approaches pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

v. Risk of News Announcements

- a. Traders/Manufacturers make news announcements that may impact the price of the commodities and/or commodity derivatives contracts. These announcements may occur during trading and when combined with lower liquidity and higher volatility may suddenly cause an unexpected positive or negative movement in the price of the commodity/ commodity derivatives contract.

vi. Risk of Rumours

- a. Rumours about the price of a commodity at times float in the market through word of mouth, newspaper, websites or news agencies, etc., the investors should be wary of and should desist from acting on rumours.

vii. System Risk

- a. High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

- b. During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in execution of order and its confirmation.
- c. Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a commodity due to any action on account of unusual trading activity or price hitting circuit filters or for any other reason.

viii. System/ Network Congestion

- a. Trading on the Exchange is in electronic mode, based on satellite/leased line communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control of and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as Futures Commodity Derivatives are concerned, please note and get yourself acquainted with the following additional features:-

Effect of “Leverage” or “Gearing”:

- a. The amount of margin is small relative to the value of the commodity derivatives contract so the transactions are ‘leveraged’ or ‘geared’. Commodity Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the principal investment amount. But transactions in commodity derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in commodity derivatives contracts and also trade with caution while taking into account one’s circumstances, financial resources, etc.
- b. Trading in Futures Commodity Derivatives involves daily settlement of all positions. Every day the open positions are marked to market based on the closing price. If the closing price has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This margin will have to be paid within a stipulated time frame, generally before commencement of trading on the next day.

- c. If you fail to deposit the additional margin by the deadline or if an outstanding debt occurs in your account, the Member of the Exchange may liquidate square-up a part of or the whole position. In this case, you will be liable for any losses incurred due to such square-up/ Close Outs.
- d. Under certain market conditions, an Investor may find it difficult or impossible to execute the transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- e. Steps, such as, changes in the margin rate, increase in the cash margin rate etc. may be adopted in order to maintain market stability. These new measures may be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- f. You must ask your Member of the Exchange to provide the full details of the commodity derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

3. TRADING THROUGH WIRELESS TECHNOLOGY OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with commodities trading through wireless technology or any other technology should be brought to the notice of the client by the member.

4. GENERAL

i. Deposited cash and property:

You should familiarize yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm become insolvent or bankrupt. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property, which has been specifically identifiable as your own, will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the Member of the Exchange, the same shall be subject to arbitration as per the Rules, Bye-laws and Business Rules of the Exchange.

ii. Commission and other charges:

Before you begin to trade, you should obtain a clear explanation of all commissions, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

- iii. For rights and obligations of the Members/Authorised Persons/ clients, please refer to Annexure 3
- iv. The term 'Constituent' shall mean and include a Client, a Customer or an Investor, who deals with a member for the purpose of trading in the commodity derivatives through the mechanism provided by the Exchange.
- v. The term 'member' shall mean and include a Trading Member or a Member/Broker, who has been admitted as such by the Exchange and got a Unique Member Code from FMC.

 2

Client Signature

ANNEXURE-3

RIGHTS AND OBLIGATIONS OF MEMBERS, AUTHORIZED PERSON AND CLIENTS

as prescribed by FMC and Commodity Exchanges

1. The client shall invest/trade in those commodities /contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Business Rules / Regulations of Exchanges/ Forward Markets Commission (FMC) and circulars/notices issued there under from time to time.
2. The Member, Authorized Person and the client shall be bound by all the Rules, Byelaws and Business Rules of the Exchange and circulars/notices issued there under and Rules and Regulations of FMC and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy himself of the capacity of the Member to deal in commodities and/or deal in derivatives contracts and wishes to execute its orders through the Member and the client shall from time to time continue to satisfy itself of such capability of the Member before executing orders through the Member.
4. The Member shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The Member shall take steps to make the client aware of the precise nature of the Member's liability for business to be conducted, including any limitations, the liability and the capacity in which the Member acts.
6. The Authorized Person shall provide necessary assistance and co-operate with the Member in all its dealings with the client(s).
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the Member in "Account Opening Form" with supporting details, made mandatory by commodity exchanges/FMC from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the Member shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the Member in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the Member on a periodic basis.
10. The Member and Authorized Person shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the Member may so disclose information about his client to any person or authority with the express permission of the client.
13. The client shall give any order for buy or sell of commodities derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the Member however ensuring the regulatory requirements in this regard are complied with. The Member shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The Member shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant commodity exchange where the trade is executed.
15. The Member shall ensure that the money deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the Member for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, circulars, notices, guidelines of FMC and/or Rules, Business Rules, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, Member shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Business Rules and circulars/notices issued there under of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Business Rules of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Business Rules of the Exchanges and the circulars/notices issued there under.

BROKERAGE

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the Member or the Exchange or as may be directed by FMC from time to time as applicable to the segment(s) in which the client trades. The Member is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or FMC) and the client shall be obliged to pay such margins within the stipulated time.
18. The Client shall pay to the Member brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Member renders to the Client. The Member shall not charge brokerage more than the maximum brokerage permissible as per the Rules, Business Rules and Bye-laws of the relevant commodity exchanges and/or Rules of FMC.

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the Member's other rights (including the right to refer a matter to arbitration), the client understands that the Member shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring commodities which the client has ordered to be bought or sold, Member may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/commodities in favor of a Nominee shall be valid discharge by the Member against the legal heir.

DISPUTE RESOLUTION

21. The Member shall co-operate in redressing grievances of the client in respect of all transactions routed through it.
22. The client and the Member shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Business Rules of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
23. The client/Member understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/Member shall be binding on the client/Member in accordance with the letter authorizing the said representative to deal on behalf of the said client/Member.

TERMINATION OF RELATIONSHIP

24. This relationship between the Member and the client shall be terminated; if the Member for any reason ceases to be a member of the commodity exchange including cessation of membership by reason of the Member's default, death, resignation or expulsion or if the certificate is cancelled by the Exchange.
25. The Member, Authorized Person and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

26. In the event of demise/insolvency of the Authorized Person or the cancellation of his/its registration with the Board or/withdrawal of recognition of the Authorized Person by the commodity exchange and/or termination of the agreement with the Authorized Person by the Member, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the Member and all clauses in the 'Rights and Obligations' document(s) governing the Member, Authorized Person and client shall continue to be in force as it is, unless the client intimates to the Member his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

27. The Member and client shall reconcile and settle their accounts from time to time as per the Rules, Business Rules, Bye Laws, Circulars, Notices and Guidelines issued by FMC and the relevant Exchanges where the trade is executed.
28. The Member shall issue a contract note to his clients for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The Member shall send contract notes to the investors within 24 hours of the execution of the trades in hard copy and/or in electronic form using digital signature.
29. The Member shall make pay out of funds within 48 hours or delivery of commodities as per the Exchange Rules, Bye-Laws, Business Rules and Circulars, as the case may be, to the Client on receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
30. The Member shall send a complete 'Statement of Accounts' for both funds and commodities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement immediately but not later than 30 calendar days of receipt thereof, to the Member. A detailed statement of accounts must be sent every month to all the clients in physical form. The proof of delivery of the same should be preserved by the Member.
31. The Member shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee, warehouse receipts, commodities etc.

32. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with Member and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.
33. In case, where a member surrenders his/ her/ its membership, Member gives a public notice inviting claims, if any, from investors. In case of a claim relating to transactions executed on the trading system of the Exchange, ensure that you lodge a claim with the Exchange or its Clearing Corporation / Clearing House within the stipulated period and with the supporting documents.

ELECTRONIC CONTRACT NOTES (ECN)

34. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id (created by the client) to the Member (Kindly refer Appendix A of Annexure 1). Member shall ensure that all the rules/ Business Rule/Bye-Laws/ circulars issued from time to time in this regard are complied with. The client shall communicate to the Member any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
35. The Member shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
36. The client shall note that non-receipt of bounced mail notification by the Member shall amount to delivery of the contract note at the e-mail ID of the client.
37. The Member shall retain ECN and acknowledgement of the e-mail in a soft and nontamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/circulars/guidelines issued by FMC/Commodity exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the Member for the specified period under the extant rules/circulars/guidelines issued by FMC/Commodity exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The Member shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant rules/circulars/guidelines issued by FMC/Commodity exchanges.
38. The Member shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the email ID of the client, the Member shall send a

physical contract note to the client within the stipulated time under the extant Regulations/ Rules, Bye-Laws, Business Rules and Circulars of FMC/commodity exchanges and maintain the proof of dispatch and delivery of such physical contract notes.

39. In addition to the e-mail communication of the ECNs to the client, the Member shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.
40. The Electronic Contract Note (ECN) declaration form obtained from the Client who opts to receive the contract note in electronic form must be obtained afresh before 1st April of every financial year by following the same procedure. Thus, such declaration would be valid for that financial year only.

LAW AND JURISDICTION

41. In addition to the specific rights set out in this document, the Member, Authorised Person and the client shall be entitled to exercise any other rights which the Member or the client may have under the Rules, Bye-laws and Business Rules of the Exchanges in which the client chooses to trade and circulars/notices issued there under or Rules of FMC.
42. The provisions of this document shall always be subject to Government notifications, any rules, guidelines and circulars/notices issued by FMC and Circulars, Rules, Business Rules and Bye laws of the relevant commodity exchanges, where the trade is executed, that may be in force from time to time.
43. The Member and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal, if either party is not satisfied with the arbitration award.
44. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations/Business Rules and circulars/notices issued thereunder of the Exchanges/ FMC.
45. All additional voluntary/nonmandatory clauses/document added by the Member should not be in contravention with Rules/ Business Rules/ Notices/ Circulars of Exchanges/ FMC. Any changes in such voluntary clauses/ document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/FMC shall also be brought to the notice of the clients.
46. If the rights and obligations of the parties hereto are altered by virtue of change in Rules of FMC or Bye-laws, Rules and Business Rules of the relevant commodity exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.
47. Members are required to send account statement to their clients every month in physical form.

 3

Client Signature

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY MEMBERS TO CLIENT
(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Member is eligible for providing Internet based trading (IBT) and commodities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The Member shall comply with all requirements applicable to internet based trading/- commodities trading using wireless technology as may be specified by FMC & the Exchanges from time to time.
2. The client is desirous of investing/trading in commodities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for commodities trading through use of wireless technology. The Member shall provide the Member's IBT Service to the Client, and the Client shall avail of the Member's IBT Service, on and subject to FMC/Exchanges Provisions and the terms and conditions specified on the Member's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/FMC.
3. The Member shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with commodities trading through wireless technology/ internet or any other technology should be brought to the notice of the client by the Member.
4. The Member shall make the client aware that the Member's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/FMC.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Member's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/ commodities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the Member.
6. The Client shall immediately notify the Member in writing if he forgets his password, discovers security flaw in Member's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/ commodities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The Member shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the Member shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Member and the Exchange do not make any representation or warranty that the Member's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Member on account of any suspension, interruption, non-availability or malfunctioning of the Member's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link system failure at the Client/Members/Exchange end for any reason beyond the control of the Member/Exchanges.

 4

Client Signature

ANNEXURE-4

GUIDANCE NOTE - DO'S AND DON'Ts FOR THE CLIENTS

Do's

1. Trade only through Registered Members of the Exchange. Check from the Exchange website at following link to see whether the Member is registered with the Exchange.
For MCX : <http://www.mcxindia.com/SitePages/MembersDetails.aspx>.
For NCDEX : <http://www.ncdex.com/Membership/Memberdirectory.aspx>.
For ACE : <http://www.aceindia.com/membership/directory.aspx>.
For NMCE : <http://www.nmce.com/Membership/Directory.aspx>.
For ICEX : <http://www.icexindia.com/membership/MembersDetail.aspx>.
2. Insist on filling up a standard 'Know Your Client (KYC)' form before you commence trading
3. Insist on getting a Unique Client Code (UCC) and ensure all your trades are done under the said UCC.
4. Insist on reading and signing a standard 'Risk Disclosure Agreement'.
5. Obtain a copy of your KYC and/ or other documents executed by you with the Member, from the Member.
6. Cross check the genuineness of trades carried out at the Exchange through the trade verification facility available on the Exchange website at the following link.
For MCX : <http://www.mcxindia.com/SitePages/TradeVerification.aspx>
For NCDEX : <http://www.ncdex.com/MarketData/VerifyTrade.aspx>
For ACE : <http://www.aceindia.com/market-data.aspx>.
For NMCE : <http://www.nmce.com/marketdata/tradever.aspx>.
For ICEX : <http://www.icexindia.com/marketdata/marketdata.aspx>.
The trades can be verified online where trade information is available up to 5 working days from the trade date.
7. Insist on a duly signed Contract Note in specified format for every executed trade within 24 hours of trade, highlighting the details of the trade along with your UCC.
8. Ensure that the Contract Note contains all the relevant information such as Member Registration Number, Order No., Order Date, Order time, Trade No., Trade rate, Quantity, Arbitration Clause, etc.
9. Obtain receipt for collaterals deposited with the Member towards margins.
10. Go through the Rules, Bye-laws, Regulations, Circulars, Directives, Notifications of the Exchange as well as of the Regulators, Government and other authorities and details of Client-Trading Member Agreement to know your rights and duties vis-à-vis those of the Member.
11. Ask all relevant questions and clear your doubts with your Member before transacting.
12. Insist on receiving the bills for every settlement.
13. Insist on Monthly statements of your ledger account and report any discrepancies in the statement to your Member within 7 working days. In case of unsatisfactory response report the discrepancy to the Exchange within 15 working days from the date of cause of action.
14. Scrutinize minutely both the transaction & holding statements that you receive from your Depository Participant.
15. Keep Delivery Instruction Slips (DIS) book issued by DPs in safe possession.
16. Ensure that the DIS numbers are preprinted and your account number (UCC) is mentioned in the DIS book.
17. Freeze your Demat account in case of your absence for longer duration or in case of not using the account frequently.
18. Pay required margins in time and only by Cheque and ask for receipt thereof from the Member.
19. Deliver the commodities in case of sale or pay the money in case of purchase within the time prescribed.
20. Understand and comply with accounting standards for derivatives.
21. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the Member. Note that the clauses as agreed between you and the Member cannot be changed without your consent.
22. Get a clear idea about all brokerage, commissions, fees and other charges levied by the Member on you for trading and the relevant provisions/ guidelines specified by FMC/Commodity exchanges.
23. Make the payments by account payee cheque in favour of the Member. Ensure that you have a documentary proof of your payment/deposit of commodities with the Member, stating date, commodity, quantity, towards which bank/ demat account such money or commodities (in the form of warehouse receipts) deposited and from which bank/ demat account.
24. The payout of funds or delivery of commodities (as the case may be) shall not be made to you within one working day from the receipt of payout from the Exchange, in case you have given specific authorization for maintaining running account to the member. Thus, in this regard, the running account authorization provided by you to the Member shall be subject to the following conditions :

- a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) You need to bring any dispute arising from the statement of account to the notice of the Member in writing preferably within 7 (seven) working days from the date of receipt of funds/commodities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Commodity exchanges without delay.
 - c) In case you have not opted for maintaining running account and pay-out is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the Member. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Commodity exchange.
 - d) Please register your mobile number and email id with the Member, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.
25. You should familiarize yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the commodity derivatives market or the member becomes insolvent or bankrupt.
 26. Please ensure that you have a documentary proof of having made the deposit of such money or property with the member, stating towards which account such money or property deposited.

Don'ts

1. Do not deal with any unregistered intermediaries.
2. Do not undertake off-market transactions as such transactions are illegal and fall outside the jurisdiction of the Exchange.
3. Do not enter into assured returns arrangement with any Member
4. Do not get carried away by luring advertisements, rumours, hot tips, explicit/ implicit promise of returns, etc.
5. Do not make payments in cash/ take any cash towards margins and settlement to/ from the Member.
6. Do not start trading before reading and understanding the Risk Disclosure Agreement.
7. Do not neglect to set out in writing, orders for higher value given over phone.
8. Do not accept unsigned/duplicate contract note/confirmation memo.
9. Do not accept contract note/confirmation memo signed by any unauthorized person.
10. Don't share your internet trading account's password with anyone
11. Do not delay payment/deliveries of commodities to Member.
12. Do not forget to take note of risks involved in the investments.
13. Do not sign blank Delivery Instruction Slips (DIS) while furnishing commodities deposits and/or keep them with Depository Participants (DP) or broker to save time.
14. Do not pay brokerage in excess of that rates prescribed by the Exchange
15. Don't issue cheques in the name of Authorized Person.

In case your problem/grievance/issue is not being sorted out by concerned Member/Authorised Person then you may take up the matter with the concerned Commodity exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to FMC.

 5

Client Signature

TARIFF SHEET
BROKERAGE STRUCTURE

Brokerage Slab	%	Minimum Paisa	Sign here in case of any cutting
Normal	<input type="text" value=""/>	<input type="text" value=".00"/>	
Delivery	<input type="text" value=""/>	<input type="text" value=".00"/>	
Spot Trading	<input type="text" value=""/>	<input type="text" value=".00"/>	

NOTE:

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

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

 6

Client Signature

DISCLOSURE INFORMATION (For Multigain Commodities Services Pvt. Ltd.)

To,
Dear Client,
Sir/Madam,

This is to inform you that we do client based trading and Pro-account Trading in Multi Commodity Exchange of India Ltd (MCX) / National Commodity & Derivative Exchange Ltd. (NCDEX) / National Multi Commodity Exchange of India Ltd. (NMCE) / Indian Commodity Exchange of India Ltd. (ICEX) / ACE Commodity & Derivative Exchange Ltd. (ACE) / National Spot Exchange Ltd. (NSEL).

Thanks & best regards,

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Client Signature

I acknowledge the receipt of the information given by Multigain Commodities Services Pvt. Ltd. that they do client based trading and Pro-account trading.

For Multigain Commodities Services Pvt. Ltd.

Authorised Signatory / Director



Multiplying Your Money - Ethically

NON-MANDATORY DOCUMENTS

To,

Multigain Commodities Services Pvt. Ltd.

Member : MCX, NCDEX, NMCE, ICEX, ACE, NSEL & UCX

Regd. Office : H-50, Lajpat Nagar, Moradabad-244001

Dear Sir,

I, _____ a client with Member M/s. _____ of _____ Exchange undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is _____. This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other Indian language known to me.
- This declaration is valid till 31st March _____ (yyyy)

[The above declaration has been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same]

(The above lines must be reproduced in own handwriting of the client.)

Client Name: _____

Unique Client Code : _____

PAN: _____

Address : _____

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Client Signature

Date : _____ Place: _____

Verification of the client signature done by,

Name of the designated officer of the Member

Signature

Date :

Instructions:

- This declaration form has to be sent by the Member to the client on the email id provided by client while opening the trading account.
- The client shall, on receipt of this email, print the email as well as the declaration form.
- The hard copy of the declaration shall be filled up by the client and submitted to the Member along with a signed hard copy of the email. The Member shall acknowledge the receipt of the declaration from the client.
- The size of the font of this declaration must be at least 12.

Multigain Commodities Services Pvt. Ltd.

Regd. Office : H-50, Lajpat Nagar, Moradabad-244001

I/We have been / shall be dealing through you as my/our broker on the forward contracts / commodity derivatives. As my/our broker i.e. agent I/ we direct and authorize you to carry out trading/ dealings on my/our behalf as per instructions given below.

I am/ We are aware that you and I/we have the option to deliver commodities/ make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives / regulations/ circulars, issued by exchange/ regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our commodities and monies as margin/ collateral without which we cannot deal/trade.

Therefore I/we hereby direct and authorise you to maintain running account(s) for me/us and from time to time debit these commodities and funds from running accounts and make pay-in of commodities and funds to exchanges/ clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive commodities/funds in settlement of trades/ dealings please keep the commodities and monies with you and make credit entries for the same in running accounts of commodities and funds maintained by you. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/trading.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite commodities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the register of commodities displaying all receipts/deliveries of funds/securities. Please explain in the statement(s) being sent the retention of funds/commodities and the details of the pledge, if any. I agree that if I/we fail to bring any dispute arising from the statement of accounts or settlement so made to your notice at the earliest from the date of receipt of funds/commodities or statement, as the case may be in writing by delivery at your registered office then in that event the statement of accounts or settlement so made shall attain finality. Please do not carry out above stated settlement of running account in the event I/we avail margin trading facility. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

Please further note that while I am entitled to revoke this authorisation at any time. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities / monies under this agreement.

My/Our preference for actual settlement of funds and commodities is at least :

☐ Once in a Calander Quarter ☐ Once in a Calender Month

Thanking you,
Yours faithfully

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Client Signature

(Note : To be signed by person himself/herself not to be signed by his/her attorney/authorised person etc.)

AUTHORISATION FOR PLEDGE, AUTHORISED PERSON & VERBAL ORDER INSTRUCTION

To,

MULTIGAIN COMMODITIES SERVICES PVT. LTD.

Regd. Office : H-50, Lajpat Nagar, Moradabad-244001

I / We intend to trade/invest in the Commodities Market on a regular basis through you and have accordingly completed the formalities of client registration by executing the Client Registration Kit and other Agreements/Documents such as the Member Client Agreements, Client Registration Forms, Risk Disclosure Documents, authorizations, etc. which have been accepted/agreed by me/us. I / We have also been allocated the client code for dealing in the respective segments of the Commodities Market in MCX/NCDEX/NMCE/ICEX/NSEL/ACE & UCX from time to time. Before making the said application to get registered as a client with you, I / We hereby confirm that I / We have gained the requisite knowledge and experience and awareness of the trading norms/ settlement/margin norms prescribed by the respective exchanges and shall continue to be abreast with the changes that may occur in the near future to enable me/us to sufficient to carry-out the transactions, intended by me/us, and accordingly I / We understand that in order to avail certain facilities and optimize the use of my/our financial resources in the form of funds and/or securities, I / We hereby agree and allow you to Pledge the securities belonging to me/us and held in your Beneficiary Owner's Account towards the further exposure and/or settlement obligations of MCX/NCDEX/NMCE/ICEX/NSEL/ACE & UCX in respective segments. Accordingly I / We do hereby irrevocably authorize you to Pledge the securities belonging to me/us, held in your Beneficiary Account, for margin/settlement obligations and/or for any other reason whatsoever, without any reference to me/us.

I/We hereby authorize you to keep all the commodities which I/we give you in margin including the payout of commodities received to use the commodities for meeting margin / other obligation in commodity exchange in whatever manner which may include pledging of commodity in favour of bank and/or taking loan against the same of meeting margin / pay-in obligation on our behalf or for giving the same as margin in to the Commodity Exchange or otherwise.

I /we direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below. Please treat these instructions as written ratification of my / our verbal directions/ authorizations given and carried out by you earlier. I/we authorise Mr. / Mrsto deal / transact on my / our behalf and to place orders, give instructions, make and receive payments of commodities and monies, collect contract notes, bills, order confirmations, trade confirmations, account statements and any other documents or communication, to sign any document, settle the account, enter into any compromise and to do any and all act (s) on my/our behalf which I/we can do. And I /we the undersigned do hereby agree and declare and confirm that all the acts and things done by him/her or his/her substitutes shall be my / our acts, deeds and things validly done by me/ us to all intents and purposes. Please treat this authorization as written ratification of my/our verbal directions / authorizations given and carried out by you earlier.

I / we understand that you require written instructions for receiving / modifying / canceling orders. However, since it is not practical to give written instructions for order, I hereby authorize you to kindly accept my / our authorized representatives' verbal instructions / orders in person or over phone and execute the same. I /we understand the risk associated with verbal orders and accept the same, and agree that I/we shall not be entitled to disown orders under the plea that same were not under mine/our instructions. There shall be no question in relation of execution or non-execution or inappropriate execution of any of the order for a particular day after accepting the trade confirmation / contract note.

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

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Client Signature

ADJUSTMENT IN DIFFERENT SEGMENTS & EXCHANGES, RELATED PERSON AND ADJUSTMENT OF BALANCE IN DEMAT ACCOUNT

To,
Multigain Commodities Services Pvt. Ltd.

Regd. Office : H-50, Lajpat Nagar, Moradabad-244001

SUB.: ADJUSTMENT IN DIFFERENT SEGMENTS & EXCHANGES, RELATED PERSON AND ADJUSTMENT OF BALANCE IN DEMAT ACCOUNT

Dear Sir,

Notwithstanding anything contrary contained in the agreement between us, I/We hereby inform you that I/We have executed/ desire to execute an agreement with Multigain Commodities Services Pvt. Ltd. For trading on MCX/NCDEX/NMCE/ICEX/ACE/NSEL/UCX and or any other Exchange. I/ We hereby request you to treat the agreement between ourselves and the agreement entered/ to be entered by me / us with Multigain Commodities Services Pvt. Ltd. As co-extensive and hereby authorize you to transfer, made adjustments and / or to set off a part or whole of the commodities placed as margin and / or any surplus funds in any of my accounts (s) maintained with you against the outstanding dues payable if any, by me / us in any of my / our account (s) maintained with Multigain Commodities Services Pvt. Ltd. or any other associated / sister concern or vice versa. You and I/ We or Multigain Securities Commodities Pvt Ltd. Shall have the right of lien on the credit balance in any of my / our accounts irrespective of whether it is maintained with you or with Multigain Commodities Services Pvt Ltd. Any entries passed by you in accordance with this authorization shall be binding on me / us this undertaking will be a part and parcel for all that associated companies and no need of separate undertaking shall be required.

Please tick the appropriate box

I, being a client of MULTIGAIN COMMODITIES SERVICES PVT LTD, hereby declare as under:

- ☐ I am not a Member/Broker of any Commodity Exchange; or
- ☐ I am a Member/Broker of following Commodity Exchange/s
- ☐ I am neither a Sub-Broker nor affiliated in any other capacity to any Member/Broker of any Commodity Exchange
- ☐ I am a Sub-Broker affiliated to following Member/Broker of Commodity Exchange/s
- ☐ I am not an employee of any Commodity Broker, Sub-Broker or any Commodity Exchange.
- ☐ I am employed by the following Commodity Broker/ Sub-Broker/Commodity Exchange.

I/we do hereby declare that I am/we are a Commodity Broker / Sub-broker of the _____ (name of the Commodity Exchange where client is a member) and in this regard pursuant to FMC circular III/I/89/09 dated December 16, 2011, I/we hereby confirm that.

1. I/we have intimated the said Exchange of my/our intention to open a trading account with Multigain Commodities Services Pvt.Ltd. only for the purposes for my/our proprietary trades (acknowledged copy of intimation letter is attached herewith).
2. I/we do not have trading account with any other Commodity Broker/Sub-broker of any recognized Commodity Exchange other than the above and we do hereby declare that I/we am/are not in any capacity connected to any other recognized Commodity exchange.


Ref. : Demat Account No..... Trading Account No.....

I/We am/are maintaining Trading and Demat account with you, as referred to above, for smoothness of operations and minimizing unnecessary defaults. I/We hereby confer upon you full and unconditional authority to adjust credit balance in any of my/our above referred accounts for meeting any debit balance in the other account

Thanks

Your faithfully,

Name of Client.....

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Client Signature
(Stamp in case of non individual)

STANDING INSTRUCTIONS

To,

Multigain Commodities Services Pvt. Ltd.

Member : MCX, NCDEX, NMCE, ICEX, ACE, NSEL, NCDEX SPOT, UCX

Regd. Office : H-50, Lajpat Nagar, Moradabad-244001

Sub. : Standing Instruction.

This is with reference to my/our trading account with you. I/we wish to place following standing instructions for operation of my/our accounts

- 1) Since you are issuing contract note bearing order numbers and trade numbers on a daily basis, please do not issue the order/trade confirmation slips as generated from the NEAT system, unless otherwise requested by me/us in writing.
- 2) I/We authorize you to offset dues owned by the client or any of my/our family / related members to any group or associate company of the Commodity Broker, from the amounts standing to the credit of his/her account with the Commodity Broker.
- 3) I/We authorize you to set off a part of whole of the Margin i.e. by the way of appropriation of the relevant amount of cash or by sale or transfer of all or some of the commodities which form part of the Margin, against my/our dues of the "Family" of the client (for the purposes of this agreement "Family" shall hereinafter mean all the individual, group companies, firms, entities and other persons), in the event of my/our failure or a member of my/our Family to meet any of your respective obligation under these terms. I/We specifically authorize you to set off the outstanding in the account maintained by you of any member's of my/our Family/Group Accounts against the money standing to the credit of the account maintained by any other member of my/our Family across any segment of any exchange.
- 4) I/We further agree that other charges by the name of turnover charges / Exchange turnover charges / stamp duty charges / stamp paper charges or by any other name will be borne by me/us in addition the brokerage payable on transaction and the same shall be debited to my/our account with you. I/We further confirm that it shall be my/our duty to note the said charges regularly and periodically and shall not raise any dispute or claim in respect to said charge(s) at any later stage. I/We further certify and ensure that the said charges can be carried by you from time to time. You are not required to take separate specific approval from me/us.
- 5) I/We agree that you may refuse to execute any particular transactions without assigning any reason thereof.
- 6) I/We hereby request you to please provide me some support in the form of technical analysis (intraday, medium to short term), research reports, both securities wise and sector wise, fundamentals analysis of stocks for my/our trading and investment decisions.

Further, I/We hereby confirm and declare that your providing me/us any or all such requested assistance, through SMS, Emails and/or research reports could not be held liable for any loss that may occur, as I/We understand that trading and investment decisions are subject to market risks. I/We also understand that your company, directly or indirectly, may hold any market position in the commodities covered under your research advises and I/We am/are not bound to follow your advises and assistance. Please also note I/We am/are responsible for all my/our trading and investment decisions and under circumstance any body else (including you) can be held liable for any depreciation in my/our investments

I/We also understand and confirm that the ECN shall be deemed to have been delivered to me/us by you and you shall not be responsible for any bounced Email.

If in any case ECN will bounce back then MULTIGAIN will give contract note in hard copy to me/us.

I/We Further agree to :

- Ensure availability of my email id at all times for your needs.
 - Keep you updated for any change in Email Id, Phone nos etc.
- 7) I/We agree to abide by client level position limit presented by commodity exchange and other relevant, and if inadvertently exceeded, to actually reduce and bring it within acceptable limits. I/We further authorize you to debit me/us for any penalty imposed on you for my/our violation toward position limit.
 - 8) I/We shall be extending all co-operation to Multigain Commodities Services Pvt. Ltd. in their endeavor toward Anti-Money Laundering. you may initiate any enquiry against me/us and or my/our transaction any time without any legal implication whatsoever against them. I/We understand that information about me/us and my/our transaction may be reported by you to FIU/concerned authorities without any intimation to us and have no objection to the same.

- 9) You can pass on me/us any penalty imposed /loss suffered together with incidental expenses due to my/our violating any of the requirements/stipulations of MCX/NCDEX/NMCE/ICEX/ACE/NSEL/UCX/FMC or any other regulatory authority.
- 10) I/We may revoke the authorisation at any time.
- **You are requested to follow the above-mentioned standing instructions until further written notice.**
 - **I/We confirm that there instructions and requests have been given voluntarily by me/us.**
- 11) You are requested to kindly note that the orders placed / modified / cancelled by me / us should not be noted in the order book and I / we hereby authorize you not to provide me / us Order Confirmation / Modification / Cancellation Slips and trade Confirmation Slips to avoid unnecessary paper work. I / We Shall get the required details from contract notes issued by you.
- 12) Authorization of inter segment/inter company ledger account balance transfer. I/We hereby authorizes you to transfer my / our debit /credit ledger account balances arising during the course of business in my /our account to my / our account in any of the segment of the commodity broker or the commodity broker's group company or any segments, as often as may be required. The transfers may be completed by passing journal entries in the book of the commodity broker. I/We can ascertain such transfer based on review of ledger account copies provide by the commodity broker .
- 13) I/We agree that you may share the information provided by me/us pertaining to my/our trading account to its sister concern / group companies / associates as and when required.
- 14) If I/We fail to pay my/our obligations, and commodity broker liquidated / set off its position / margin against obligation, it will be the sole description of member to select any part of the position / Margin / Commodities.

Thanking you,

Yours faithfully,

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Client Signature

DECLARATION

- I/Wehaving PAN NO.....hereby declare that my mobile no isand my Email id isFurther I authorize MULTIGAIN that the same may be used for giving me any information /alert/sms/call.
- I/We have not been involved in any terrorist activity and I have not been declared as defaulter or my name is not appearing in defaulter database as per FMC/Various Exchanges/ Regulatory bodies/CIBIL (Credit Information Bureau of India Ltd) etc.
I/we have not been convicted of any offence and presently I/we am/are not on trial for any offence involving fraud or dishonesty of any kind.
- I / We having complied with the requisite formalities, as prescribed, for being a Client, have opened a trading account with Multigain Commodities Services Pvt Ltd.
- I/ We am / are conversant with the laws, practices, rules, regulations, guidelines, Circular, etc. including, but not limited to those prescribed by the FMC, Reserve Bank of India (RBI), MCX, NCDEX, NMCE, ICEX, ACE, NSEL and/or UCX. I also undertake to keep myself informed and understand the implications of any changes that
- I give an undertaking that I shall not deal with Multigain Commodities Services Pvt. Ltd. in any prohibited manner.
- I understand that I have been advised to not to take any investment advice from any of the employees or associates of Multigain Commodities Services Pvt Ltd., and in case I do so, despite the advice against the same, I shall be acting at my exclusive risk and responsibility.
- I agree to accept any measures, which in the opinion of Multigain Commodities Services Pvt Ltd., are required to enhance security procedures, in relation to my account & Multigain Commodities Services Pvt Ltd. may, though it is not bound to, create voice-logs by recording the conversation made, while placing any orders by me, and such voice
- I / We hereby further declare that I / We will not give any third party shares for settlement of my obligations to the Exchange.
- I/ We hereby further declare that I / We will not receive or give any money in cash or in kind for fulfilling Completing the settlement obligations to the Exchange.
- I / We hereby further declare that I am / We are not party to any illegal practices that may be prevalent in the Commodity Market. I/We hereby further declare that I/We will not carry out any unfair trade practices such as Synchronized deals, Structured deals, Circular Trading in the all segment.
- I/We hereby further declare that I/We will not place any order on the Exchange which will reflect as an arrangement for profit or loss transactions. All the orders placed on the exchange will be in the normal market where there is a corresponding underlying securities position in the cash or futures segment of the respective Exchange.
- I/We agrees that any securities pledge by me/us as margin may in turn be placed as margin by the Trading Member with the Exchanges or banks or such other institutions as the Trading Member may deem fit. The Client authorises the Trading Member to do all such acts, deeds and things as may be necessary and expedient for placing such securities with the Exchanges/banks/Institutions as margin. I/We hereby further declare that I/We am/are aware of the provisions of the Prevention of Money Laundering Act 2002 (PMLA) as far as they concern me/us as an investor / client and I / we declare that I / we have never been convicted / barred from dealing in securities market in the past
- I/we confirm that I am / We are in compliance with the "Know Your Client" (KYC) guidelines including conducting due diligence required for Anti Money Laundering (AML) checks as prescribed by the FIU / SEBI. I/We further confirm that all KYC and due diligence process has been followed on a continuous basis as long as our account continues to be held with Trading Member. Further I/We agree to submit / provide all the statutory documents / other compliance details pertaining to my / our trading account whenever I/We hereby / further declare that I/we will not indulge either directly or indirectly in any of the above mentioned fraudulent or unfair trade practice either individually or in concert with other persons / entities. In the event of any of the above fraudulent or unfair trade practices are noticed by the exchange or regulatory authorities, then I/we shall be solely responsible for such acts as noticed and you shall not be responsible for my illegal and fraudulent and unfair trade practices in the capital market segment and future and options segment of the exchange.
- I/We understand that Multigain Commodities Services Pvt Ltd shall not be responsible of any losses, costs or damages resulting directly or indirectly from the below mentioned circumstances
 - (i) any action, omission, suspension or trading, decision or ruling or any exchange or regulatory, governmental or other body or of any other person which is beyond the Trading Member's control (including floor broker, exchange, dealing or clearing house)
 - (ii) any war, strike, lock-out, national disaster, act of terrorism, delay in postal service or any other delay or inaccuracy in the transmission of orders of other information, or telecommunication or computer system.
 - (iii) I/We further understand that the above Force Majeure events do not exempt me/us to fulfill the obligations in my/our account.
I/We hereby give this declaration to you without any coercion with sound mind and voluntarily to you which shall be part of my Client Registration Form and Member Client Agreement executed on the dates mentioned therein.

UNDERTAKING TO ACT IN OWN CAPACITY

Multigain Commodities Services Pvt. Ltd.

Regd. Office : H-50, Lajpat Nagar, Moradabad-244001

I/we hereby solemnly affirm and declare as under:

1. That my registration with MULTIGAIN COMMODITIES SERVICES PVT LTD (MCSPL) is in individual capacity and is for transacting on my own account. And that no one except my self / our self has/have an interest in the account with MCSPL.
2. That shall not be acting further as an intermediary / sub-broker in any manner whatsoever for the transactions executed in any segment of any commodity exchange(s) in my account with MCSPL.
3. That in the event of my transacting with MCSPL on account of holdings by family members & relatives, such act shall be done by me in my client account with MCSPL with due intimation and not be in the capacity of an intermediary/sub-broker.
4. That in the above event all amounts/securities shall be effected from my account to MCSPL from such Bank and for DP account held by /belonging to me.
5. That further state that if anybody on my behalf makes claims of any amounts/securities on account of the transaction in my account, the said act shall be null and void and shall be ineffective from all corners.
6. In case MCSPL find that I am acting as an un-registered Sub-Broker, MCSPL can immediately cancel my account with them and adjust all Credit against my liabilities.
7. That I shall duly intimate any change in the status of my registration with MCSPL and only with due permission under the prevailing regulatory/exchange regulations shall intimate any intermediary/sub-broking activity. I understand that this client registration is granted by MCSPL for transactions carried out in the nature and manner mentioned in point 1 & 2.
8. That I shall inform MCSPL any of my registration in any capacity with any other member of the exchanges(s) to transact on the same segment as at MCSPL.
9. That this is my irrevocable statement and shall continue to apply until my trading right with MCSPL is terminated.

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Client Signature

NOTICE ON IMPORTANT ISSUE

- We draw your attention to certain important issues relevant to your trading activity through us; you must read, understand and agree to abide by the advice given hereunder in respect to the dealings between us. Kindly sign at the end of this document to signify your understanding and acceptance of the matters notified to you herein.
- We do hereby inform and notify you that unless otherwise specifically agreed by us in writing, our services do not go beyond the scope as mentioned in the documents executed between us, accordingly the role envisaged to be played by Multigain Commodities Services Private Limited is restricted to facilitating, only and only as a stockbroker, the execution of transactions intended to be executed by you on your own risk and responsibility and as considered suitable by you, taking into consideration, your risk bearing capacity.
- Further you are also informed that none of the employee or agent of Multigain Commodities Services Private Limited is authorized to offer any investment advice, and therefore you are advised to refrain from seeking or place reliance on the advice from any such person. If despite this Notice, you choose to seek and rely on any advice, offered by any person, whether related or unrelated to Multigain Commodities Services Private Limited in any manner, you shall be doing so at your own risk and responsibility, and the dealings between you and the person offering the advice shall be absolutely personal between you and such person, for which Multigain Commodities Services Private Limited will not assume any liability.
- We also reiterate here that the Commodity Market is a highly volatile and unpredictable market and it is impossible for anyone to predict the future developments in the marketplace, therefore anyone assuring you any returns should not be relied upon by you. Further you are also advised to not to allow or authorize any person to trade on your behalf, in expectation of any assured profit, and must understand that where you authorize or allow any person to trade on your behalf, you would be entering into a "Principle-Agent" relationship with such person and therefore be entirely responsible for his actions, whether resulting into "Loss" or "Profit".
- Multigain Commodities Services Private Limited also conducts research on various activities of the Commodity Market and wherever considered appropriate, commodities the knowledge and opinion derived from such research with its Clients and others desirous of receiving such information, however as our Client, you must understand that such information is only a general opinion of Multigain Commodities Services Private Limited, which is not designed for, or takes into consideration, the factors specific to your risk bearing capacity and perception. You are therefore advised to rely only and only on your own judgment while taking any investment and/or trading decisions. The research reports provided by us are only an expression of the opinion of the concerned researchers; it is neither any advice intending to encourage you to undertake any activity nor any offer to sell or a solicitation to buy any securities. As our client you must also read our opinion published on any website or publications, keeping in mind the contents of this notice to you. Further in order to benefit from the research carried out on its behalf, Multigain Commodities Services Private Limited, its directors or its employees may, at their sole discretion may acquire positions in the scrips which are the subject matter of such research.
- Client agree that Multigain (Member) will not be responsible if any, included, not limited, its officers, directors, employee, agents, affiliates, associates, representatives commit for return guarantee / principal amount guarantee. Client assumes full responsibility with respect to his investment decisions and transaction.
- The cash transaction prohibited by Member / Exchange / Regulatory Authority Label, There is no liability of Member if the client makes any cash dealing, with, including, but not limited, any employee, agents, affiliates, associates, representatives.
- Client agree that Multigain will not be responsible if client handover Cash / Blank Delivery Instruction Slip/any type of commodities to Member and its officers, directors, agents, affiliates, associates, representative, the client shall hold full responsibility of it.
- Margin Money As per exchange (as required by exchange time to time)
- Mark to Mark Loss (MTM)-MTM Loss, if any has to be paid on daily basis.
- Delay in payments-In case of delay in payment, the company will charge 0.07% as (per day) penalty on the total debit balance subject to maximum 2% per month.
- Statement of account - All account reports are available on website back office. Hard Copies of any report will be given at a nominal charge of Rs. 5/- per page subject to minimum of Rs.10/- for others (otherthan normal requirement).
- Documentation Charges-The Company will charge Rs.20/- as documentation chares for each account in addition of stamp paper charges .
- Postage Charges- The Company will charge minimum or Rs. 10/- for any local courier and Rs. 25/- for others.

Declaration by Client

I have read and understood the contents of the above notice, and state that I have no objection to anything mentioned therein and do also hereby agree to abide by the advice offered in the Notice.

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Client Signature

MULTIGAIN COMMODITIES SERVICES PVT. LTD.
CLIENT APPRAISAL FORM

1	Client Code		
2	Name of Client		
3	Family Group - Code & Name		
4	Background of Client		
5	Referred By		
6	Period of relationship with Multigain Group		
7	Networth (Rs. in Lakhs)		
8	Liquid Assets (Average Demat Share		
	Holding + Average Bank Bal. +		
	Average MF Units) (Rs. in Lakhs)		
9	Limits Suggested (Rs. in Lakhs)	Clean Limit Suggested	Max. Limit to be allowed by RM (considering Family Bal)
		Cash -	Derivatives
		Cash -	Derivatives
10	Signing Up Amount		
11	Remarks, if any		
12	Signature - Relationship Manager (RM)		
	Name of Relationship Manager (RM)		
13	Signature - Branch Head		
	Name of Branch Head		
14	Signature - RMS Head		
	Name of RMS Head		



Multiplying Your Money - Ethically

CHECK LIST FOR CLIENT REGISTRATION FORM

FORM RECEIVING DATE :	BRANCH CODE :	CLIENT CODE :
ACCOUNT OPENING DATE :		

1.	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)	Stamp Paper <input type="checkbox"/>		
i)	Brokerage : Intra Day _____ Delivery _____		
j)	Exchange given : <input type="checkbox"/> MCX <input type="checkbox"/> NCDEX <input type="checkbox"/> NMCE <input type="checkbox"/> ICEX <input type="checkbox"/> ACE <input type="checkbox"/> NSEL <input type="checkbox"/> NCDEX SPOT		
2.	Franchisee and Client to be informed if any of the above detail is missing or invalid by _____ Date _____ Time _____		
3.	Details Punched in Computer by _____ at _____		
4.	Cross Checking done by _____		
5.	UCC UPLOADED : <input type="checkbox"/> MCX <input type="checkbox"/> NCDEX <input type="checkbox"/> NMCE <input type="checkbox"/> ICEX <input type="checkbox"/> ACE <input type="checkbox"/> NSEL <input type="checkbox"/> NCDEX SPOT <input type="checkbox"/> ENTERED IN FORM DATA		
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 <input type="checkbox"/> Client VSAT User ID _____ Password _____		
11.	Returned to Compliance by _____ Date : _____ Time : _____		
12.	Client Instruction Book taken from DP (If applicable)		
13.	Client Account Status Report taken from DP (If applicable)		
14.	Kit Dispatched on _____ (Date)		

FORM DATE	:
BRANCH CODE	:
BRANCH NAME	:
CLIENT CODE	:
CLIENT NAME	:
INTERNAL REF.#	:
SIGNATURE	:



We at Multigain aim to grow ethically, trustfully and reliably along with our clients and associates with ideology that Client Growth is our Growth.

We offer our personalized support through information, innovation, state of the art technology and system which is :

"Highly Affordable, Easily Accessible and Widely Acceptable"



Multigain Commodities Services Pvt. Ltd.

Registered Office : H-50, Lajpat Nagar, Moradabad - 244001 (U.P.). Ph.: +91-591-2490500 / 6456733 / 44 Fax : +91-591-2490400
Corporate Office : 126, Pocket - 1, Jasola Vihar, Near Living Style Mall, New Delhi - 110025, Ph.: 8826688915, 9873165807
Regional Office-I : Gala No. 203, 2nd Floor, Lok Centre, Marol-Maroshi Road, Marol, Andheri (East), Mumbai-400059, Ph: 022-67252051
Regional Office-II : Saran Chamber-2, Ground Floor, Office No. 1, 5 Park Road, Lucknow. Ph.: 0522-4010803/04/05
Regional Office-III : Unit no. 101, 1st Floor, Pentagon Building # 11, Mosque Road, Frazer Town, Bangalore-560005. Ph.: 080-25480073, 9731037494
Regional Office-IV : 402, Vishal Chambers, Sector-18, Noida-201301 (Delhi NCR), Ph.: 0120-4567735-38/4226383-84

ACKNOWLEDGEMENT

To,

MULTIGAIN COMMODITIES SERVICES PVT. LTD.

Dated :

Regd. Office : H-50, Lajpat Nagar, Moradabad-244001

I/We hereby acknowledge the receipt of duly executed copy of KYC, RDD, Right and Obligations & Guidance Note as executed by me/us. Further I/We confirm that the supporting documents for KYC submitted by me/us are true and correct. I/We acknowledge that the other details related to my/our account are as under:

Name..... Address.....

.....Trading Code.....

UCC..... My Email Id.....



(Signature of Client)