

ACCOUNT OPENING FORM

IN-PERSON VERIFICATION

Client Name

Code.....

By sign

Name of the Employee/AP/SB.....

Date.....

Place.....

Name of the Service Centre.....

R K Global
COMMODITY BROKING LTD

“Every Client is our Priority”

Instructions / checklist for filling KYC form

A. Important points

- 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 securities on behalf of company/firm/others.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted along with other statutory approvals required for investment in commodities.
- 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:

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

C. Proof of Address (POA)

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

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

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

E. List of people authorized to attest the documents

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

F. In case of non-individuals, additional documents are to be collected from the non-individual entity, over and above the POI and POA, as mentioned below.

Type of entity	Documents required
Corporate	Copy of 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 Memorandum and Articles of Association and Certificate of Incorporation Copy of Board Resolution for the investment in commodity market Copy of Board Resolution or declaration (on letterhead) naming the persons authorised to deal in the commodity derivatives on behalf of the company.
Partnership firm	Copy of balance sheets for the last 2 financial years (to be submitted every year) Copy of registration/partnership deed. Authorised signatories list with specimen signatures Photograph and copies of POI, POA & PAN of the partners.
Trust	Copy of balance sheets for the last 2 financial years (to be submitted every year) Copy of registration/trust deed. List of trustees certified by managing trustees/CA Photograph and copies of POI, POA & PAN of the trustees.
HUF	PAN of HUF Deed of declaration of HUF & list of copartners Bank statement/pass-book of HUF Photograph, POI, POA & PAN of Karta.
Government bodies	Self certification on letterhead Authorised signatories list with specimen signatures.
Registered society	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

G. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/ and IFSC Code of the bank should be submitted.

H. Proof of income: A recent month salary slip/6-month bank statement/demat holding statement

I. Demat master or recent holding statement issued by DP bearing name of the client.

For Individuals:

- Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.

For non-individuals :

- Form need to be initialized by all the authorized signatories.
- Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/others & their specimen signatures.

S. No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/checklist.	1-4
2	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the commodity exchange(s).	5
3	Rights and Obligations of Members, Authorized Persons and Clients	Document stating the Rights & Obligations of stock broker /trading member and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Client copy
4	Uniform Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the commodity market, including commodity options.	Client copy
5	Do's and Don'ts for the Investors	Document detailing do's and don'ts for trading on exchange for education of investors	Client copy
6	Policies and Procedures	Document describing significant policies and procedures of the Broker.	Client copy
VOLUNTARY AND OPTIONAL DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
7	Discloser Information	Pro discloser from R K Global Commodity Broking Ltd.	6
8	Acknowledgement	Receipt of KYC, RDD, Rights & Obligations and Do's and Don'ts	6
9	Letter of authority	Voluntary Letter of Authority from Client	7
10	ECN Declaration	Consent Letter for receiving Electronic Contract Note	8
11	Nomination Details	Collects details of any nomination made for the account	9
12	Consent Letter for Trading in Commodity Option	Undertaking/Consent Letter for Trading in COMMODITY OPTIONS	10
13	FATCA	FATCA & CRF Declaration for Individuals	11
14	SMS/Email receiving consent letter	Consent from Client for receiving trade alerts through SMS and / or Email	12
15	Request Letter	Declaration by the Client to abide the Net open Interest position as Permissible in any Commodity	13

Membership Details

Name of the Trading Member : R K Global Commodity Broking Ltd.
Exchange Registration Number : MCX/TCM/CORP/1606 / NCDEX-CO-09-00967
SEBI Registration Number : INZ000029230

Registered Office

Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi - 110 001
Phone: +91-11-4310 0999

Correspondence Address: Same as above

Compliance Officer : Mr. Sushil Kumar Dhancholia, Phone No. & Email ID : 011-4310 0999, skd@rkglobal.in
CEO : Mr. Amit Bhagchandka, Phone No. & Email ID: 011-4310 0999, ceo@rkglobal.in
For any grievance please contact R K Global at the above address or email- grievances@rkglobal.in
Phone No. 011-43100999

For any grievance/dispute please contact R K Global at the above address, Email ID or Phone number.
In case not satisfied with the response, please contact the concerned exchange at:

1. MCX at grievance@mcxindia.com or Phone No.: 022-67318888
2. NCDEX at ig@ncdex.com or Phone No.: 022-66406789.

Know Your Client (KYC) Application Form - for Individuals

Please fill this form in English and BLOCK Letters

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

For office use only (To be filled by the financial institution)				Page No.
Application Type*	<input type="checkbox"/> New	<input type="checkbox"/> Update	KYC Number <input type="text"/>	
Account Type*	<input type="checkbox"/> Normal	<input type="checkbox"/> Simplified (for low risk customers	<input type="checkbox"/> Small	

A. Identity details

1. Name (Same as ID Proof)	Photograph Please affix your recent passport size photograph and sign across it
1a. Maiden Name (If any)	
2. Father's/Spouse's Name	
2a. Mother's Name	

3a. Gender Male Female Transgender 3 b. Marital Status Single Married Other 3c. DOB

4a. Citizenship Indian Other _____ (ISO 3166 Country Code)

4b. Residential Status Resident Individual Non Resident Indian Person of Indian Origin Foreign National

Tick if applicable Residence for tax purposes in jurisdiction(s) outside India

ISO 3166 Country Code of Jurisdiction of residence Place of birth _____

Tax Identification Number or Equivalent ISO3166 Country Code of Birth

5a. PAN

5b. Unique Identification Number (UID) / AADHAR

6. Proof of Identity Submitted Pan Card Other (Please Specify) _____

B. Contact Details

Telephone (Office)	Mobile No
Telephone (Residence)	Email ID
Email ID belongs to :	Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent parent <input type="checkbox"/> Dependent children <input type="checkbox"/>
Mobile Belongs to :	Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent parent <input type="checkbox"/> Dependent children <input type="checkbox"/>

C. Address details Address Type: Residential Business Unspecified

2. Residence/Correspondence Address

Address			
City/Town	District	Pin Code	
State/U.T Code	Country/ISO Code		

Specify the Proof of Address Submitted for Residence / Correspondence Address

D. DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Client Signature

Place :

Date

FOR OFFICE USE ONLY

In Person Verification (IPV) Details:

Name of the Person who has done the IPV:

Employee/AP/SB Details :

Designation: Employee ID/AP/SB Registration No.:

Name of the Organization: R K Global Commodity Broking Ltd.

Date of the IPV:

Signature of the Person who has done the IPV

Seal/Stamp of the Intermediary

Originals Verified and Self-Attested Document Copies Received

Date : _____

Signature of the Authorized Signatory

3. Permanent Address

Address									
City/Town			District			Pin Code			
State/U.T Code			Country/ISO Code						

4. Address in the jurisdiction details where applicant is resident outside India for tax purpose (if applicable)

Address									
City/Town			District			Pin Code			
State/U.T Code			Country/ISO Code						

E. Details of related person (In case of additional related persons, please fill below details)

Addition of Related Person Deletion of Related Person

KYC Number of Related Person (if available)

Related Person Type Guardian of Minor Assignee Authorized Representative

Name									
------	--	--	--	--	--	--	--	--	--

(If KYC number & name are provided, below details are optional)

Proof Of Identity Of Related Person

Identity Proof Submitted					Number				
--------------------------	--	--	--	--	--------	--	--	--	--

Expiry Date :

Other (any document notified by the central govt.)					Identification No				
Simplified Measures Account-Document Type Code					Identification No				

F. Bank account details

Account Type: Savings Current Other

Bank Name									
Branch Address									
Account Number									
MICR Number					IFSC Code				

G. Other details

Gross Annual Income Details (please specify): Income Range per annum

Below Rs 1 Lakh 1-5 Lakh 5-10 Lakh 10-25 Lakh >25 Lacs

Or Net-worth as on _____ date _____ (Net worth should not be older than 1 year)

Occupation

Private Sector Public Sector Government Service Business Professional Agriculturist Retired

Housewife Student Self Employed Others (please specify) _____

Please tick, as applicable: Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

Not a Politically Exposed Person Not related to a Politically Exposed Person

H. Past actions

Details of any action/proceedings initiated/pending/ taken by FMC/SEBI/stock exchange(s)/commodity exchange(s)/any other authority against the applicant/constituent or its partners, promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years _____

I. Depository account(s) details

Depository Name: NSDL CDSL

Depository Participant Name																																	
Beneficiary Name																																	
Depository ID																Beneficiary ID																	

Note : Provide a copy of demat master report or a recent holding statement issued by DP bearing name of the client.

J. Dealings through other members

Whether dealing with any other stock broker/sub-broker (in case dealing with multiple members, provide details of all in a separate sheet containing all the information as mentioned below)

Name of Member/AP						Exchange(s)									
Website						Exchange registration number									
Client code						Exchange registration number									
Registered office address															
Name of Member with whom AP is registered															
Details of disputes/dues pending from/to such stock broker															

K. Introducer details (optional)

Name of the Introducer																					
Status of the Introducer - Sub-broker/Remisier/Authorized Person/Existing Client																					
Address of the Introducer																					
Phone Number																Signature (optional)					

L. Trading preferences / experience

No Prior Experience

Years in Commodities																Years in other Investment Related Field																	
----------------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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

Name of Exchange	Date of consent	Signature
MCX		2 Client Signature
NCDEX		3 Client Signature

If, in future, the client wants to trade on any new segment, a separate authorization/letter should be taken from the client by the broker.

M. Additional details

(I) Whether you wish to receive communication from member in electronic form on your email ID Yes No

If yes then please fill in Appendix - A

N. GST REGISTRATION DETAILS (Please give details of all states where you are Registered)

S. No.	State	Address	GST No.	ARN No.	Validity Date
1.					
2.					
3.					

O. Nomination details (Please tick the appropriate options)

I / We do wish to nominate (Fill the Annexure 1A)

I / We do not wish to nominate

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 'Dos and Don'ts'. 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.

Date

Client Signature

 4

Place: _____

For office use only

UCC Code allotted to the Client _____

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of employee			
Date			
Signature			

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

Signature of the Authorised Signatory

Seal/Stamp of the stock broker

Date

TARIFF SHEET

BROKERAGE STRUCTURE

Brokerage Slab	Per lot	%	Min. Paisa
MCX	#	%	.00
NCDEX	#	%	.00
MCX Option	#	%	.00
NCDEX Option	#	%	.00

Sign here in case of any cutting

5

* : Please don't mention any (%) or (.) mark here. It should be in terms of absolute paisa only.

: Please don't mention any (%) or (.) mark here. It should be in terms of Rs. per Lot only.

Note : All Statutory and Regulatory Charges will be levied at actuals. Delay Payment Charges will be applicable at the rate of 2% per month on shortfall amount. Software Maintenance Charges for ODIN will be Rs. 299 per month per segment. Brokerage is also charged on expired, exercised and assigned Options Contracts. Turnover for Options is calculated as (Strike + Premium)* Lot Size.

Detailed explanation of the schedule of changes is available online at : www.rkglobal.net

Client Signature

6

Disclosure Information

Dear Sir/Madam,

This is to inform you as per Rules, Regulations and Bye-laws of Multi Commodity Exchange of India Ltd. (MCX) that we do client based trading and Pro-account trading and we are not indulged in portfolio management services.

Regards,

R K Global Commodity Broking Ltd.

I/We acknowledge receipt of information given above by R K Global Commodity Broking Ltd. that they do client base trading and Pro-account trading and they are not indulged in portfolio management services.

Client Signature
 7

To

R K Global Commodity Broking Ltd.

Flat No.- 5, Sagar Apartment, 6 Tilak Marg, New Delhi - 110 001


Sub: Acknowledgement

This is to acknowledge the receipt of following documents. I further state and confirm that I have read and understood all the clauses of aforesaid documents.

Sl. No.	Document
1	Duly Executed Copy of KYC
2	Rights and Obligations
3	Risk Disclosure Document (RDD), including RDD for trading options
4	Guidance Note - Do's and Dont's for trading on the Exchange(s) for investors
5	Policies and Procedures
6	Additional Rights & Obligations

I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of R K Global Commodity Broking Ltd.

Date

Client Signature
 8

Letter of Authority (Voluntary)

To,

R K Global Commodity Broking Ltd.

Member : MCX, NCDEX

Flat No. 5, Sagar Apartment, 6 Tilak Marg
New Delhi-110 001

Dear Sir,

1. I / We am / are aware that as per the SEBI/ Exchange requirements, the settlement of funds is to be done within 24 hours of receiving the relevant pay out from the Exchange. I / We am/are also aware and understand that it is difficult to manage repeated payments with respect to all commodity market transactions. Also, I/we desire to use my/our commodities, securities and funds as margin / collateral without which we cannot deal / trade.
2. Therefore, I/We hereby request and authorize you to maintain my account as a running account(s) which will entail that all funds/commodities due to us on payout shall be withheld with yourselves beyond the stipulated deadline send given to us only on demand. You shall transfer the funds lying in our credit within given exchange prescribed time frame of my / our request.
3. I / We further authorize you to debit the funds from my / our running accounts and make pay-in of commodities /funds to exchanges. Subject to your discretion and valuation, please treat my / our collaterals and funds lying to my/our credit in running accounts as margin / collateral for my / our dealings / trading.
4. I/We further authorize you to debit/credit/transfer the funds between the various commodity Exchanges to clear / set off / adjust my / our debit balance or various dues payable to you / Exchange(s).
5. I / We acknowledge that I / We can revoke the above mentioned running account authority at any time by sending instruction in writing.
6. I/We request you to settle my funds account once in the period as mentioned below :

Once in a month Once in a Quarter


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

I /we agree that RKGCBBL may retain an amount as prescribe by the exchanges or SEBI while effecting settlement of funds in my / our account. This amount should be released based on my/our specific request only.

7. I/ We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement or statement related to it as the case may be in writing at your registered office.
8. I/We are aware that in case of Quarterly/Monthly Settlement gap between two running account settlement will not be more than 90/30 days.

In case I / We have an open position on the settlement date, you may retain the requisite funds to meet the maximum likely margin obligations for the next 5 trading days, calculated in the manner as specified by the exchanges/SEBI.

Sign here :

 **9**

Client Signature

Client Name : _____

Client Code : _____

Date :

Place :

Electronic Contract Note (ECN) declaration (Voluntary)

R K Global Commodity Broking Ltd.

Flat No.- 5, Sagar Apartment, 6 Tilak Marg, New Delhi - 110 001

Dear Sir,

I, _____
a client with Member R K Global Commodity Broking Ltd. of MCX/NCDEX Exchange undertake as follows:

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

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

*(The email ID must be written in the client's own handwriting in the space below.)

--

Name												
PAN											Unique Client Code	
Address:												
Date:											Client Signature	
Place:											✍ 10	

For office use only

Verification of client signature done by												
Signature											Date	
											DDMMYYYYYY	

Nomination Details

To
R K Global Commodity Broking Ltd.

Flat No.-5, Sagar Apartment, 6 Tilak Marg,
New Delhi - 110 001

Nomination Registration No.	Dated

I/We the sole holder hereby declare that:


- I/We do not wish to nominate any one for this trading account.
 I/We nominate the following person who is entitled to receive security balances lying in my/our trading account, particulars whereof are given below, in the event of my/our death.

Nomination Details

Up to 3 nominations can be made	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
Name of the nominee(s) (Mr./Ms.)			
Share of each nominee <input type="checkbox"/> Distribute equally [If not equally shared, please specify %age]	Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
Relationship With the Applicant (if any)			
Address of nominee(s)			
Mobile/Telephone no. of nominee(s)			
Email ID of nominee(s)			
Proof of identity submitted			

Details of the Witness

Witnesses (Only applicable in case the account holder has made nomination)	
Witness Name	Witness Name
Address	Address
Signature	Signature

First Holder
 11 _____

Acknowledgement

We have received the nomination request for the account with UCC	
Account holder's name	
Received by	
Signature of authorised signatory	

Undertaking/Consent Letter for trading in COMMODITY OPTIONS



To,
R K Global Commodity Broking Limited
Flat No 5, 6 Tilak Marg,
Sagar Apartment,
New Delhi – 110001

Dated: _____

Dear Sirs,

I intend to trade in COMMODITY OPTIONS also and therefore further to the KYC documents submitted and executed by me, I undertake as follows :

- I am aware that trading in COMMODITY OPTIONS shall be subject to Regulatory requirements of the Exchange and SEBI from time to time.
- I have read “Additional Risk Disclosure documents for Options Trading” thoroughly and have understood risk involved in trading in COMMODITY OPTIONS.
- I undertake that I shall take due care and precautions while trading in COMMODITY OPTIONS.

Exchange and Segment	Signature	Date of Consent for Trading
MCX Options Segment	 12	
NCDEX Options Segment	 13	

Brokerage	(% On Turnover)	Per Lot
MCX Options Segment		
NCDEX Options Segment		

Please allow me to trade in COMMODITY OPTIONS and oblige.

Thanking You,

Yours Faithfully

Name: _____

Client Code: _____

FATCA & CRS DECLARATION (FOR INDIVIDUALS)

Do you have any non-Indian Country(ies) of Both / Citizenship / Nationality and Residency? Yes No


Sole/First Holder/Guardian	<input type="checkbox"/> Yes <input type="checkbox"/> No
Country of Birth	
Country of Citizenship / Nationality	
Are you a US Specilfied Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No Please provide Tax Payer Id
Country of Tax Residency* (Other then India)	Yes No Taxpayer Identification No.
1.	
2.	
3.	

*Please indicate all countries in which you are resident for tax purpose and associated Taxpayer Identification number.

FACTCA – CRS Terms & Conditions

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

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

Signature :  14 _____
Sole/First Holder Signature

*For detailed & Conditions please refer Client copy

Consent from Client for receiving trade alerts through SMS and/or E-mail

To,

R K Global Commodity Broking Ltd.

Member ID : MCX - 40005 / NCDEX - 00967
Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi-110 001
Ph. : 91-11-43100999, Fax : 91-11-23385640
E-mail : care@rkglobal.in, Website :www.rkglobal.net

Dear Sir,

I/We, _____ a client with (M/s. R K GLOBAL COMMODITY BROKING LTD.,(Multi Commodity Exchange of India Ltd., Member ID: 40005, National Commodity & Derivatives Exchange Ltd., Member ID : 00967) undertake as follows :

1. I/We are aware that MCX & NCDEX provides the trades executed on its trading platform to the concerned clients/constituents through SMS and E-mail alerts.
2. I/We are aware that the MCX & NCDEX Exchange has to provide the trade details through SMS/E-mail alerts for my convenience at my request only.
3. I/We hereby confirm that I/we wish to receive the trade alerts through :

- a. SMS :
- b. E-mail :
- c. SMS and E-mail :

4. The alerts should be sent on

- a. Mobile Number :
- b. E-mail Address : _____

I/we hereby agree to the terms and conditions specified by the Exchange vide circular No. MCX/T&S/165/2012 dated April 26, 2012 and NCDEX wide Circular No. NCDEX/Compliance/010/2012/426/Dated December 28, 2012 circulars /clarifications issued by the Exchange from time to time in this regard. We are also aware that this is an additional facility provided by the Exchange and we shall not solely rely or use such data for any purpose and, Exchange and we shall not be liable for any direct or indirect loss of any nature because of providing this additional facility.

Client Name : _____

Unique Client Code : _____

PAN : _____

Client Signature
 15 _____

DECLARATION BY THE CLIENT TO ABIDE THE NET OPEN INTEREST POSITION AS PERMISSIBLE IN ANY COMMODITY

Dear Sir,

Subject : My / Our request for trading in commodity forward contract / commodity derivatives on All Exchanges as your client

I/We, the undersigned, have taken cognizance of circular no. MCX/338/2006 dated February 25, 2011 issued by the Multi Commodity Exchange of India Ltd. (MCX), circular no NCDEX/TRADING - 114/2006/247 Dated september 28, 2008 any other circulars issued by SEBI/Exchanges from time to time on stated matter on the guidelines for calculation of net open positions permitted in any commodity and I/We hereby undertake to comply with the same. I/we hereby undertake that I/We do not trade through any Trading Member other than **R K Global Commodity Broking Ltd.**

OR

I/We hereby declare that I/We are also trading in Commodities through _____ (name of the Trading Member) having Member ID _____ in MCX NCDEX under the Client ID _____ and through _____ name of the Trading Member ID _____ in MCX NCDEX under the Client ID _____ .

I/We hereby declare and undertake that I/we will not exceed the position limits prescribed from time to time by MCX/NCDEX or SEBI and such position limits will be calculated in accordance with the contents of above stated circulars of all exchanges as modified from time to time.

I/We undertake to inform you or keep you informed if any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/Trusts in which I or any of above such person is a partner/director/karta/trustee, take or holds any position in any commodity forward contract/commodity derivative on MCX/NCDEX through you or through any other member(s) of MCX/NCDEX as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your client on MCX/NCDEX only on the basis of our above assurance and undertaking. I/We further undertake to bear any liability/penalty/charges levied by MCX/NCDEX for the non compliance of the aforesaid circulars or as modified from time to time.

Yours faithfully,

Client Signature
 16 _____