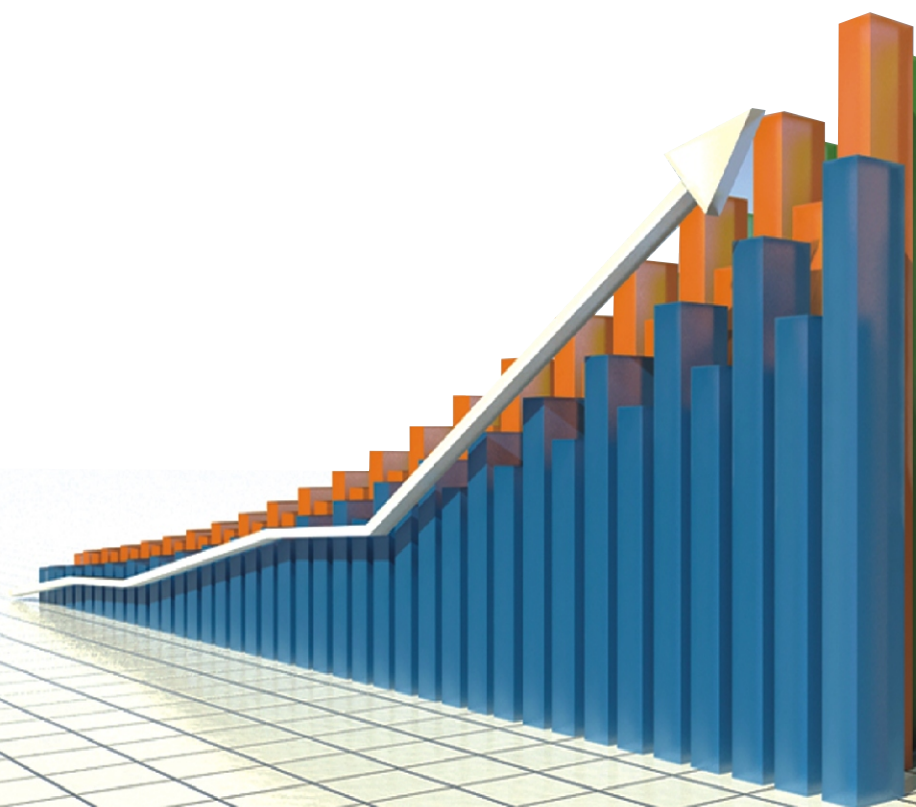


S.No.

RAGHUNANDAN MONEY®



Client Registration Form

TRADING & DEMAT (COMMODITY)

FACT SHEET**AUTHORISED PERSON CLIENT DETAILS**

Name	Code	Signature

CLIENT MAPPING DETAILS

Name of Sales Executive	Mapping Code of Sales Executive	Employee Code of Sales Executive	Name of Reporting Head

Signature of Sales Executive

ID REQUEST

Required Exchange	MCX	NCDEX	NMCE	ACE	ICEX	NSEL
ODIN DIET						
Browser						
Mobile Trading						
Other						
Total Charges Payable						

*Please tick again relevant column.

CONTACT DETAIL FOR INVESTOR GRIEVANCES

For any grievance/dispute please mail us at askus@rmoneyindia.com or contact us on 0562-4039999.
In case not satisfied with the response, please contact the concerned exchange(s)/depository at :











Exchange Name	E-mail ID	Phone No.
Muti Commodity Exchange of India Ltd.	grievance@mcxindia.com	022-67318888
National Commodity & Derivatives Exchange Ltd.	askus@ncdex.com	022-66406666
National Multi Commodity Exchange of India Ltd.	helpdesk@nmce.com	022-40086018/19
Indian Commodity Exchange Ltd.	info@icexindia.com	022-30849700
ACE Commodity & Derivatives Exchange Ltd.	info@aceindia.com	022-66709201
National Spot Exchange Ltd.	grievance@nationalspotexchange.com	022-67619900

DECLARATION FOR PRO TRADING

We Raghunandan Industries (P) Ltd., hereby inform all our clients that besides trading on behalf of our Clients, we also do Proprietary Trading in our own account.

Note : The information to be given in the form, is the sole property of the Member Broker and would not be disclosed to anyone unless required by law/statutory/regulatory authorities or except with the express permission of the client.

Specimen Signature for Record

SPECIMEN SIGNATURE		First Applicant/Authorized signatory Recent Photo with signature across photo
		
		
SPECIMEN SIGNATURE		Second Authorized signatory Recent Photo with signature across photo in case of Non-Individual
		
		
SPECIMEN SIGNATURE		Third Authorized signatory Recent Photo with signature across photo in case of Non-Individual
		

Note*:- Four signatures are mandatory in case of first Applicant and Two for others. Signature should be within the boxes and sign with carefully because we will keep these signatures in our record for client signature verification.



RAGHUNANDAN INDUSTRIES PVT. LTD.

EXCHANGE NAME	MEMBERSHIP ID	FMC ID	EXCHANGE NAME	MEMBERSHIP ID	FMC ID
MCX	16825	MCX/TCM/CORP/0050	ICEX	1107	ICEX/TCM/CORP/0120
NCDEX	00189	NCDEX/TCM/CORP/0295	ACE	6176	ACE/TCM/CORP/0378
NMCE	CL 0267	NMCE/TCM/CORP/0185	NSEL	10440	
			NCDEX SPOT	10043	

Compliance Officer's Details : Name : Neeraj Kumar • Ph. : +91-562-4039212 • E-mail Id : rmcompliance@rmoneyindia.com
 CEO's Details : Name : Saurabh Mittal • Ph. : +91-562-4039217 • E-mail Id : saurabh.mittal@rmoneyindia.com

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior - 474009 (M.P.)
Corp. Office : 26/257B, Sultanganj, Near Ashish Palace, Agra - 282004 (U.P.)
 Ph.: 0562-4039217, 4039219 Fax : 0562-2526550
 E-mail : askus@rmoneyindia.com

INDEX OF DOCUMENTS

S. No.	Name of Document	Brief Significance of the Document	Page No.
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PART - I MANDATORY DOCUMENTS AS PRESCRIBED BY FMC & EXCHANGES

1.	Account Opening Form	A. KYC Form - Part - I Documents captures the basic information about the constituent and instruction/check list (to be sent to KRA)	1 to 6
		B. KYC Form - Part - II Documents captures the additional information about the constituent relevant to trading account.	7 to 9
2.	Tariff Sheet	Document details the rate/amount of brokerage and other charges levied on the client for trading on the commodity exchange(s) (to be added by the Commodity Broker)	10
3.	Member-Client Agreement	Agreement for NSEL	11 to 12
4.	Risk Disclosure Document (RDD)	Documents detailing Risk associated with dealing in the Commodities Market.	13 to 15
5.	Rights and Obligations	Document stating the Rights & Obligation of Commodity Broker/Trading Member, Sub broker and client for Trading on exchanges (including additional Rights and Obligations in case of Internet/Wireless Technology based Trading)	16 to 19
6.	Guidance Note	Document detailing Do's & Don'ts for Trading on exchange, for the education for the investors.	20 to 21

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11.	Name Discrepancy Letter	Declaration cum Undertaking for Name Discrepancy in PAN Card, Bank Proof & Address Proof	39
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PART - III FORMATS*

1.	Sole Proprietorship Declaration	Declaration to be provided on proprietorship firm's letter head to map the firm's bank account and route transactions from that bank account.
2.	Partnership Declaration	Declaration to be provided on partnership firm on their letter head to open trading account on name of firm, DP account on name of partners and appoint authorized signatories.
3.	HUF Declaration	Declaration to be given by HUF coparceners for opening trading and DP account on the name of Karta/HUF.
4.	Board Resolution Format	Board Resolution to be given by company on their letterhead to open trading, DP account and appointing authorized signatories.
5.	Banker's Verification Format	Letter to be provided by investor on Bank's Letter Head for verification of signature.
6.	Format for non individual	To provide additional details of KARTA/Whole Time directors/All Partners/Promoters & Trustees.
7.	KRA for Individual	Format for KRA registration need to be filled by all joint holders/authorized signatories in case of joint holders/non-individual account

***Formats are available on our website www.rmoneymoneyindia.com under download section.**

I/We have fully understood the distinction and details regarding the Non Mandatory/Voluntary/Special Facility documents and do hereby enter and sign the same and agree not to call into question the validity, enforceability and applicability of any voluntary / optional agreement(s) /document(s) or clauses within any voluntary/optional agreement(s) /document(s) under any circumstances what so ever.

2 

(Signature of Client)

PART I - KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals)



Raghunandan Industries Pvt. Ltd. / Raghunandan Capital Pvt. Ltd.

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Please fill this form in ENGLISH and in BLOCK LETTERS

Photograph

Please affix your recent passport size photograph

Signature Across photograph

A. IDENTITY DETAILS

1.	Name of the Applicant																					
2.	Father's /Husband's Name																					
3.	a) Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	b) Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married	c) Date of Birth	D	D	M	M	Y	Y	Y	Y											
4.	a) Nationality <input type="checkbox"/> Indian <input type="checkbox"/> Others (Please specify _____)																					
	b) Status <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)																					
5.	a) PAN*											b) Unique Identification Number (UID) Aadhaar, if any										
6.	Specify the proof of identity submitted <input type="checkbox"/> PAN Card <input type="checkbox"/> Any other (Please specify _____)																					

B. ADDRESS DETAILS

1.	Correspondence Address																																			
	City/Town/Village							PIN Code																												
	State							Country																												
2.	Proof of address to be provided by applicant for correspondence address	Please submit ANY ONE of the following valid documents & tick (✓) against the document attached. <input type="checkbox"/> Passport <input type="checkbox"/> Ration Card <input type="checkbox"/> Registered Lease/Sale Agreement of Residence <input type="checkbox"/> Driving License <input type="checkbox"/> Voter Identity Card <input type="checkbox"/> *Latest Bank A/c Statement/Passbook <input type="checkbox"/> *Latest Telephone Bill (only Landline) <input type="checkbox"/> *Latest Electricity Bill <input type="checkbox"/> *Latest Gas Bill <input type="checkbox"/> Others _____ * Not more than 3 months old																																		
		Validity/Expiry date of proof of address submitted D D M M Y Y Y Y																																		
3.	Contact Details	Tel. (Off.)													Tel. (Res.)											Fax No										
		Mobile No.													E-mail ID																					
4.	Permanent Address (If different from above. Mandatory for Non-Resident Applicant to specify overseas address)																																			
	City/Town/Village							PIN Code																												
	State							Country																												
5.	Proof of address to be provided by the applicant for permanent address	Please submit ANY ONE of the following valid documents & tick (✓) against the document attached. <input type="checkbox"/> Passport <input type="checkbox"/> Ration Card <input type="checkbox"/> Registered Lease/Sale Agreement of Residence <input type="checkbox"/> Driving License <input type="checkbox"/> Voter Identity Card <input type="checkbox"/> *Latest Bank A/c Statement/Passbook <input type="checkbox"/> *Latest Telephone Bill (only Landline) <input type="checkbox"/> *Latest Electricity Bill <input type="checkbox"/> *Latest Gas Bill <input type="checkbox"/> Others _____ * Not more than 3 months old																																		
		Validity/Expiry date of proof of address submitted D D M M Y Y Y Y																																		

C. OTHER DETAILS (please see guidelines overleaf)

1.	Gross Annual Income Details (please specify):												
	Income Range per annum <input type="checkbox"/> Below ₹ 1Lac <input type="checkbox"/> ₹ 1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹ 10-25 Lac <input type="checkbox"/> More than ₹ 25 Lac												
	OR												
	Networth Amount (₹) _____ as on D D M M Y Y Y Y (Networth should not be older than 1 year)												
2.	Occupation (please tick any one and give brief details): <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Government Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others (Pl. Specify; _____)												
3.	Please tick, if applicable <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)												
4.	Any other information												

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.

Signature of the Applicant



Date

D D M M Y Y Y Y

FOR OFFICE USE ONLY

Name of the person doing IPV* & Interview							Designation								
Date of IPV*	D	D	M	M	Y	Y	Y	Y	Place of IPV*						
Name of the Organization							SEBI Regn. No. #								
								Signature of the person doing IPV*							

☐ (Originals verified) True copies of documents received☐ (Self-Attested) Self Certified Document copies received

Signature of the Authorised Signatory of Raghunandan Industries Pvt. Ltd. / Raghunandan Capital Pvt. Ltd. with Seal & Stamp

Date

D D M M Y Y Y Y

* IPV - stands for In Person Verification # Member Broker / Sub-Broker/ Authorised Person

* Please enclosed a duly attested copy of your PAN card.

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (For Trading and Demat Account)

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 securities 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 foreign 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 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.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. 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/ 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.)

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. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. 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.
6. 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.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. 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. 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.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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.

PART I - KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Non-Individuals)



Raghunandan Industries Pvt. Ltd. / Raghunandan Capital Pvt. Ltd.

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Please fill this form in ENGLISH and in BLOCK LETTERS

Photograph

Please affix your recent passport size photograph

Signature Across photograph

A. IDENTITY DETAILS

1.	Name of the Applicant													
2.	Date of Incorporation	D	D	M	M	Y	Y	Y	Y	Place of incorporation				
3.	Date of commencement of business	D	D	M	M	Y	Y	Y	Y					
4.	a) PAN *									b) Registration No. (e.g. CIN)				
5.	Status (please tick any one)	<input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Bank <input type="checkbox"/> Partnership <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Government Body <input type="checkbox"/> FI <input type="checkbox"/> Body Corporate <input type="checkbox"/> Non Government Organization <input type="checkbox"/> FII <input type="checkbox"/> Trust <input type="checkbox"/> Defense Establishment <input type="checkbox"/> HUF <input type="checkbox"/> Charities <input type="checkbox"/> Society <input type="checkbox"/> AOP <input type="checkbox"/> NGO's <input type="checkbox"/> LLP <input type="checkbox"/> BOI <input type="checkbox"/> Others (please specify) _____												

B. ADDRESS DETAILS

1.	Correspondence Address																				
	City/Town/Village							PIN Code													
	State							Country													
2.	Proof of address to be provided by applicant for correspondence address	Please submit ANY ONE of the following valid documents & tick (✓) against the document attached. <input type="checkbox"/> *Latest Telephone Bill (only Landline) <input type="checkbox"/> *Latest Electricity Bill <input type="checkbox"/> *Latest Bank Account Statement <input type="checkbox"/> Registered Lease / Sale Agreement of Office Premises <input type="checkbox"/> Any other proof of address document (as listed overleaf) _____ *Not more than 3 months old Validity/Expiry date of proof of address submitted <table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>												D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y														
3.	Contact Details	Tel. (Off.) _____ Tel. (Res.) _____ Fax No. _____ Mobile No. _____ E-mail ID _____																			
4.	Registered Address (if different from above)	City/Town/Village _____ PIN Code _____ State _____ Country _____																			
5.	Specify the proof of address submitted for registered address	Please submit ANY ONE of the following valid documents & tick (✓) against the document attached. <input type="checkbox"/> *Latest Telephone Bill (only Landline) <input type="checkbox"/> *Latest Electricity Bill <input type="checkbox"/> *Latest Bank Account Statement <input type="checkbox"/> Registered Lease / Sale Agreement of Office Premises <input type="checkbox"/> Any other proof of address document (as listed overleaf) _____ *Not more than 3 months old Validity/Expiry date of proof of address submitted <table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>												D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y														

C. NEW OTHER DETAILS (please see guidelines overleaf)

1.	Gross Annual Income Details (please specify): Income Range per annum	<input type="checkbox"/> Below ₹ 1Lac <input type="checkbox"/> ₹ 1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹ 10-25 Lac <input type="checkbox"/> ₹ 25 Lac - ₹ 1 Crore <input type="checkbox"/> More than ₹ 1 Crore															
2.	Networth Amount (₹)							as on	D	D	M	M	Y	Y	Y	Y	(Networth should not be older than 1 year)
3.	Name, PAN, DIN/UID, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors (Please use the Annexure to fill in the details)																
4.	If the entity involved/providing any of the following services	<input type="checkbox"/> Yes <input type="checkbox"/> No - For Foreign Exchange / Money Changer Service <input type="checkbox"/> Yes <input type="checkbox"/> No - Gaming / Gambling / Lottery Services (e.g. casinos, betting, syndicates) <input type="checkbox"/> Yes <input type="checkbox"/> No - Money Landing / Pawning <input type="checkbox"/> Yes <input type="checkbox"/> No															
5.	Any other information																

D. DECLARATION

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

Name & Signature of the Authorised Signatory(ies)



Date

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

FOR OFFICE USE ONLY

Name of the person doing IPV* & Interview							Designation								
Date of IPV*	D	D	M	M	Y	Y	Y	Y	Place of IPV*						
Name of the Organization							SEBI Regn. No. #								
								Signature of the person doing IPV*							

☐ (Originals verified) True copies of documents received☐ (Self-Attested) Self Certified Document copies received

Signature of the Authorised Signatory of Raghunandan Industries Pvt. Ltd. / Raghunandan Capital Pvt. Ltd. with Seal & Stamp

Date

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

* IPV - stands for In Person Verification

Member Broker / Sub-Broker/ Authorised Person

* Please enclosed a duly attested copy of your PAN card.

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (For Trading and Demat Account)

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.
- For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/Judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI)

List of documents admissible as Proof of Identity:

- 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:

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

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

- Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook -- Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/ Gazetted Officer/Notary. public/Elected representatives to the Legislative Assembly/ Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/ document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse 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.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50, 000/- p.a.
- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

Type 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. Copy of the Board Resolution for investment in securities market. Copies of the Memorandum and Articles of Association and certificate of incorporation. Authorised signatories list with specimen signatures.
Partnership Firm	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Copy of partnership deed. Photograph, POI, POA, PAN of Partners. Certificate of registration (for registered partnership firms only). Authorised signatories list with specimen signatures.
Trust	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Copy of Trust deed. Photograph, POI, POA, PAN of Trustees. Certificate of registration (for registered trust only). List of trustees certified by managing trustees/CA.
HUF	<ul style="list-style-type: none"> PAN of HUF. Bank pass-book/bank statement in the name of HUF. Deed of declaration of HUF/ List of coparceners. Photograph, POI, POA, PAN of Karta.
Unincorporated Association or a Body of Individuals	<ul style="list-style-type: none"> Proof of Existence/Constitution document. Resolution of the managing body & Power of Attorney granted to transact business on its behalf. Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> Copy of SEBI registration certificate. Authorized signatories list with specimen signatures.
Army/Government Bodies	<ul style="list-style-type: none"> Self-certification on letterhead. Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> Copy of Registration Certificate under Societies Registration Act. 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. List of Managing Committee members.

Additional documents in case of trading in derivatives segments - illustrative list:	
Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

*In respect of other clients, documents as per risk management policy of the Company need to be provided by the client from time to time.

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

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

In-person Verification:

For Individuals:

- Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted. For Non Individuals: Form need to be initiated by all the authorized Signatories.

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

Name of Applicant										
PAN of the Applicant										

1.	Name											Photograph		
	Relationship with Applicant (i.e. promoters, whole time directors etc.)													
	PAN										DIN/UID			
	Residential / Registered Address													
		City/Town/Village						PIN						
		State						Country						
	Wether Politically Exposed	<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO												

2.	Name											Photograph		
	Relationship with Applicant (i.e. promoters, whole time directors etc.)													
	PAN										DIN/UID			
	Residential / Registered Address													
		City/Town/Village						PIN						
		State						Country						
	Wether Politically Exposed	<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO												

3.	Name											Photograph		
	Relationship with Applicant (i.e. promoters, whole time directors etc.)													
	PAN										DIN/UID			
	Residential / Registered Address													
		City/Town/Village						PIN						
		State						Country						
	Wether Politically Exposed	<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO												

4.	Name											Photograph		
	Relationship with Applicant (i.e. promoters, whole time directors etc.)													
	PAN										DIN/UID			
	Residential / Registered Address													
		City/Town/Village						PIN						
		State						Country						
	Wether Politically Exposed	<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO												

**Name & Signature of the
Authorised Signatory(ies)**



Date

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

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

Name of Applicant										
PAN of the Applicant										

5.	Name											Photograph	
Relationship with Applicant (i.e. promoters, whole time directors etc.)													
PAN											DIN/UID		
Residential / Registered Address													
		City/Town/Village					PIN						
		State					Country						
Wether Politically Exposed		<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO											

6.	Name											Photograph	
Relationship with Applicant (i.e. promoters, whole time directors etc.)													
PAN											DIN/UID		
Residential / Registered Address													
		City/Town/Village					PIN						
		State					Country						
Wether Politically Exposed		<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO											

7.	Name											Photograph	
Relationship with Applicant (i.e. promoters, whole time directors etc.)													
PAN											DIN/UID		
Residential / Registered Address													
		City/Town/Village					PIN						
		State					Country						
Wether Politically Exposed		<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO											

8.	Name											Photograph	
Relationship with Applicant (i.e. promoters, whole time directors etc.)													
PAN											DIN/UID		
Residential / Registered Address													
		City/Town/Village					PIN						
		State					Country						
Wether Politically Exposed		<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO											

**Name & Signature of the
Authorised Signatory(ies)**



Date

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

ADDITIONAL DETAILS FOR OPENING TRADING ACCOUNT

(For Individual & Non-Individuals)

A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	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.






B. 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.

C. 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.	NCDEX		
2.	MCX		
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]

*NSEL Exchange to be started after DP activation.

D. INVESTMENT / TRADING EXPERIENCE

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

E. 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			

F. 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			

G. 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 :

H. 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.:																	Fax		
E-mail																				
Client Code																				
Details of disputes / dues pending from/to such Member / AP:																				

I. 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										

J. ADDITIONAL DETAILS

■ 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)

K. 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		Name	
Signature		Signature	
Address		Address	

DECLARATION

- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am / We are aware that I/we may be held liable for it.
- I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non-mandatory documents.
- 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 www.rmoneymindia.com

Place

Date



Client Signature

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

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

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

For **Raghunandan Industries (P) Ltd.**_____
Signature of the Authorised Signatory

Date _____

Seal / Stamp of the Member

TARIFF SHEET**A. BROKERAGE**

COMMODITY SEGMENT				
Particular	MCX / NCDEX / NMCE / ICEX / ACE		NSEL	
	Percentage	Minimum Paisa	Percentage	Minimum Paisa
Square off same day				
Carry Forward				
Delivery				

B. OTHER CHARGES

Particular	Spot Market Segment		Derivative Segment	
Charges	Delivery	Jobbing	Futures	Option
Stamp Duty & Other charges				
Transaction Charges	Will be charged as per current applicable rates including any revisions in concern segments with respective exchanges			
Service Tax	As per the provision of Service Tax Act 1994 and as amended from time to time			
Other Taxes	As may be applicable from time to time.			

NOTE:

1. All legal levies as, may be applicable, from time to time.
2. Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
3. Charges/service standards are subject to revision at sole discretion of Raghunandan Industries (P) Ltd.
4. Penalty for delay in payment of settlement /margin obligation shall be charged @ 1.5% per month on daily outstanding balance till settled in full.

I/We, _____
have read the above given information and agree to pay the charges/levies mentioned above.

MEMBER - CLIENT AGREEMENT – NSEL

This agreement is made at the place & date mentioned herein between **RAGHUNANDAN INDUSTRIES (P) LTD.**, a company and registered under the Companies Act, 1956, hereinafter called MEMBER of the National Spot Exchange Ltd. having its registered office address at **Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009 & Corp. Office 26/257B, Sultanganj, Near Ashish Palace, Agra-282004.** and _____

_____, a company / firm / individual or any other body duly formed and registered under the Relevant Act, hereinafter called CLIENT, having its registered office address at _____

**WITNESSTH:**

Whereas the member is registered as MEMBER OF THE NATIONAL SPOT EXCHANGE LIMITED (hereinafter called (NSEL).

Whereas the CLIENT is desirous of trading in those contracts admitted for dealing on NSEL as defined in the Bye – Laws, Rules and Business Rules of NSEL.

Whereas the CLIENT has satisfied himself of the capability of the MEMBER OF THE EXCHANGE to deal in those contracts admitted for dealing on the NSEL and wishes to execute his orders through him and the CLIENT shall continue to satisfy him of such capability of the MEMBER OF THE EXCHANGE before executing any orders through him.

Whereas the MEMBER OF THE EXCHANGE has satisfied and shall continuously satisfy himself about the genuineness and financial soundness of the CLIENT and trading objectives relevant to the services to be provided.

Whereas the MEMBER OF THE EXCHANGE has taken steps and shall take steps to make the CLIENT aware of the precise nature of the MEMBER liability for business to be conducted, including any limitations on that liability and the capacity in which it acts. In consideration of handling transactions carried out on the NSEL, THE CLIENT understands the following risks disclosed by the Member and states as follows:

- A. I / We understand that the spot trading involves daily settlement. Every day the net outstanding position (whether purchase or sale) at the end of the day shall result into compulsory delivery. I/We shall ensure that the commodities are as per the contract specifications of the Exchange and within tolerance limits set out in the contract specification and such commodities are delivered at the designated warehouse of the Exchange before the scheduled pay-in time fixed by the Exchange. I/We further understand that in case of failure on my part to deliver the specified commodity at the specified delivery center within the specified time set by the Exchange, such commodities shall be procured by the Exchange through auction procedure at my cost and risk. I / We shall be liable to make good of such losses that may be recovered from the members by the Exchange on my account.
- B. I / We understand that in case of my liability of funds pay-in position, I shall ensure transfer of funds to the members account well before the schedule pay-in time to enable the member to meet his funds pay-in obligation on my account. I/We further understand that in case of failure on my/our part to pay/transfer funds before the scheduled pay-in date, the commodities purchased by the member on my account may be auctioned by the Exchange/sold by the Member at my cost and risk. I / We shall be liable to make good of such losses that may be recovered from/suffered by the members on my account.
- C. I / we hereby authorize the member to execute all my written/verbal order for purchase and sale of commodities and comply with the Sales Tax/ VAT/ CST related liabilities on my behalf. I / We irrevocably authorize the member to recover all the dues from my account against sales tax and other liabilities that may arise in the course of executing my orders on the Exchange platform. I further undertake that the member shall be authorized to take all actions for compliance with the VAT regulations.
- D. I / We understand that my purchase and sales positions shall be marked to market at end of the day of transaction based on the closing price of commodities. I / We shall be required to deposit the amount of loss (notional) resulting from such closing price (if any). This margin will have to be paid within a stipulated time frame, generally before commencement of trading next day.
- E. If I / we fail to deposit the additional margin by the deadline or if an outstanding debt occurs in my account, the Member of the Exchange may liquidate a part of or the whole position or substitute commodities. In this case, I / We shall be liable for any losses incurred due to such close outs.
- F. My order for purchase or sale of any commodity may not be executed when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- G. In order to maintain market stability, the Exchange may change the margin rate, increases in the cash margin rate or others. These new measures may be applied to the existing outstanding position, which are yet to be settled. In such conditions, I / We shall be required to put up additional margins against my positions.



- H. I / We shall ask my Member of the Exchange to provide the full details of the spot contracts before I / We plan to trade i.e. the contract specifications and the associated obligations.
- I. Before trade, I / We shall obtain a clear explanation of all commission, fees and other charges for which I / We will be liable.
- J. The Exchange offers electronic trading facilities, which are computer-based systems for order-routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. The execution of my orders shall be subject to limits on liability imposed by the system provider, the market, the Clearing House and/or Member of the Exchange firms.

In view of the above, I / We agree that

- 1) I / We am aware of the risks stated above and understand the trading & risks involved in the trading through the Electronic spot Exchange and am fully responsible for my dealings in this Exchange platform.
- 2) I / We shall be bound by the Bye-Laws, Rules, Business Rules, and Customs of the NATIONAL SPOT EXCHANGE LIMITED and the Clearing House of the Exchange.
- 3) I / We shall deposit monies, Warehouse Receipts or other property, which may be required to open and carry out the transactions in my account with you as my agent at the capacity of the Member of NSEL and I / WE being your client.
- 4) I / We shall not, acting alone or in concert with others, directly or indirectly, hold and control or create excess position than what is permitted from time to time by the Exchange or any other authority.
- 5) All monies, Warehouse Receipts or other property, which you may hold on my account, shall be held subject to a general lien for the discharge of my obligations to you under this agreement.
- 6) I / We hereby authorize you at your discretion, should you deem it necessary for your protection to buy, sell or close out any part or all of the contracts held in my account with you. I / We will reimburse any or all such incidental expenses incurred by you.

Now, THEREFORE, in consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the terms and conditions, as follows:

1. The agreement entered into between the Member and the CLIENT shall stand terminated by mutual consent of the parties by giving at least one-month notice to each other. Such termination shall not have any effect on the transactions executed before the date of notice of termination and the parties shall enjoy same rights and shall have same obligations in respect of such transactions.
2. In the event of the death or insolvency of the CLIENT or his otherwise becoming incapable of receiving and paying for or delivering or transferring Commodities which the CLIENT has ordered to be bought or sold, the Member may with the approval of the Exchange, close out the transaction of the CLIENT and the CLIENT or his legal representative shall be liable for any losses, costs and be entitled to any surplus which may result there from.
3. All trades, transactions and contracts are subject to the Rules, Bye Laws and Business Rules of the Exchange and shall be deemed to be and shall take effect as wholly made, entered into and to be performed in the city of MUMBAI for the purpose of giving effect to the provisions of the Rules, Bye - Laws and Business Rules of the Exchange.

In WITNESS THEREOF, the parties to agreement have caused these presents to be executed as of the day and year first above written.

SIGNED for and on behalf of
M/s. **RAGHUNANDAN INDUSTRIES (P) LTD.**

SIGNED for and on behalf of CLIENT

Signature : _____

Signature :  _____

Name : _____

Name : _____

Title : _____

Title : _____

Witness :

Witness :

Signature : _____

Signature : _____

Name : _____

Name : _____

Address : _____

Address : _____

Place : Gurgaon

Date : _____ Day of _____ 20____

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:-

I. 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.

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).

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, therefore, subject to specific acceptance 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.

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.

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

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

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, Securities 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 I). 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.

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.

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 on the
 MCX Website - (www.mcxindia.com)
 NCDEX Website - (www.ncdex.com)
 NMCE Website - (www.nmce.com)
 ICEX Website - (www.icexindia.com)
 ACE Website - (www.aceindia.com)
 NSEL Website - (www.nationalspotexchange.com)
 to see whether the Member is registered with the Exchange.
2. Insist on filling up a standard 'Know Your Client (KYC)' form before you commence trading
3. Insist on getting a Unique Client Code (UCC) and ensure all your trades are done under the said UCC.
4. Insist on reading and signing a standard 'Risk Disclosure Agreement'.
5. Obtain a copy of your KYC and/ or other documents executed by you with the Member, from the Member.
6. Cross check the genuineness of trades carried out at the Exchange through the trade verification facility available on the Exchange website at the following link on the
 MCX Website - (www.mcxindia.com)
 NCDEX Website - (www.ncdex.com)
 NMCE Website - (www.nmce.com)
 ICEX Website - (www.icexindia.com)
 ACE Website - (www.aceindia.com)
 NSEL Website - (www.nationalspotexchange.com)
 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.
27. In case your problem/grievance/issue is not being sorted out by concerned Member/Authorised Person then you may take up the matter with the concerned Commodity exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to FMC.

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.

PART - II VOLUNTARY DOCUMENTS
RELATIONSHIP MEMORANDUM OF UNDERSTANDING

VOLUNTARY

This MOU is made at the place and date mentioned herein between **RAGHUNANDAN INDUSTRIES (P) LTD.** (member of Multi Commodity Exchange of India Ltd (MCX) FMC Regn. No. MCX/TCM/CORP/0050, member of National Commodity & Derivative s Exchange Ltd (NCDEX) FMC Regn. No. NCDEX/TCM/CORP/0295, member of Indian Commodity Exchange Ltd. (ICEX) FMC Regn. No. ICEX/TCM/CORP/0120), member of Ace Commodity Exchange (ACE) FMC Regn. No. ACEL/TCM/CORP/0378, member of National Multi Commodity of India Limited (NMCE) FMC Regn No. NMCE/TCM/CORP/0185, member of National Spot Exchange Limited (NSEL) Regn. No. 10440 (hereinafter called "MEMBER") and having its registered office at **Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009 ; Corporate office at 26/257B , Sultanganj , near ashish palace , Agra - 282004** & Processing Office at Gurgaon (Harayana) .

AND

.....a individual / company /trust / firm or any other body duly formed and registered under the relevant Act, (hereinafter called the "CONSTITUENT") having its residence/registered office at



WHEREAS :

the MEMBER is registered as TRADING MEMBER of Multi Commodity Exchange of India ltd with membership no. 16825 ,National Commodity & Derivative Exchange Limited with membership no. 00189 , National Multi Commodity Exchange of India Limited with membership no. CL0267 , Indian Commodity Exchange Limited with membership no. 1107 , ACE Commodity Exchange with membership no. 6176, National Spot Exchange Limited With membership no.10440. Hereinafter collectively and individually referred as Exchange.

Whereas the Constituent is desirous of trade in those commodities admitted for dealing on the Exchange (s) as defined in the Bye-laws of the Exchange.

Whereas the Constituent has satisfied itself of the capability of the Member to deal in commodities and wishes to execute his orders through him and the Constituent shall continue to satisfy itself of such capability of the Member before executing orders through him.

Whereas the constituent has produced the documents and provide information with regard to his/their genuineness and financial soundness and agree to provide the information with regard to changes in his/their genuineness and financial soundness in future and Member has satisfied himself about the genuineness and financial soundness of the Constituent and investment objectives relevant to the services to be provided.

Whereas the Member has taken steps and shall take steps to make the Constituent aware of the precise nature of the Member liability for business to be conducted, including any limitations on that liability and the capacity in which it acts.

In consideration of the mutual understanding as set forth in this Relationship MOU, the parties thereto have agreed to the following terms and conditions:

I. The constituent or his/their authorized representative shall issue the trading and other instructions through telephone/ email/ fax or through any other means for facilitating and carrying out trade and other business activities and Member agrees to perform subsequent

and consequent activities relating to the trading/ business instructions and shall not wait for separate instructions for subsequent activities.

The constituent hereby authorizes or severally as his/ its representative to issue the trading and other instructions from time to time to the member or its employees/ officers. In the event of the authorized representative(s) being replaced, it shall be the responsibility of the constituent to inform the Member of the change in writing, failing which the constituent shall be responsible for the trade obligations arising out of the actions of both the representative, i.e. old as well as the new representatives.

2. The constituent understands that placing an order with the Member including a market order, does not guarantee execution of the order. The Member has the absolute right to reject any order that may be made by the Constituent for any reason whatsoever including for the breach of the requirement of maintaining the prescribed Margin in the Constituent Account or the Bank Account.

3. The Constituent is made aware that the Member uses camera, recording devices and other electronics devices/ equipment(s) from time to time for recordings including call records to provide better and accurate services and to maintain safety, security and to eliminate the chances of mistake, fraud, cheating. The Constituent agree that he/they has no objections and shall not raise objections on such devices for recording purposes by the Member. Such recordings may be relied upon by the Member as and when required to resolve disputes in connection with all the matters but not limited to the trading transaction.

4. The Constituent agrees that the Member shall not be liable for any losses that the Constituent may incur on such eventualities beyond the control of the Member and not limited to the followings :-



- a. The Exchange (s) may cancel a trade/transactions suomoto or otherwise without giving any reason thereof.
- b. There may be insufficient bids or offers or suspension of trading due to price limits or circuit breakers.
- c. The electronic trading systems either at the Exchange or in the Member's offices are vulnerable to temporary disruptions or failures.
- d. At times, due to any unforeseen circumstances the Member may not be able to execute/punch given orders or desired transactions (either members own decisions or for enforcing margins as provided in this MOU) or due to any other reasons.
- e. In the event of trade cancellation due to such events or vulnerabilities, the Member shall be entitled to cancel relative contract(s) with the constituent and perform consequent and subsequent acts.

The Member does not accept responsibility for any losses that the constituent may incur on such eventualities beyond the control of the Member or otherwise.

5. In the event the Constituent transacts in more than one Exchange or in different segments in one Exchange or across Exchange (s) through the Member, the constituent specifically authorizes the Member to set off the outstanding in the Constituent's account maintained by the Member in respect of any Exchange or any segment of any Exchange against the money standing to the credit of the constituent's account maintained by the Member in respect of any other Exchange or any other segment in any other Exchange.
6. The constituent shall pay to the member such amount as a collateral/ initial deposit (interest-free cash deposit or other collateral) as decided by the member, and in such form as may be approved by the member upfront, on or before creating a position in any contract which may be equal to the margin prescribed by the Exchange and additional margin as prescribed by the Member. The member shall reserve the mark up margin (Commodity referred to as 'haircut margin') from the collateral which shall not be utilized for margin requirements. The collateral reduced by markup/ haircut margin shall thereafter be utilised against creating and maintaining the position by the constituent. The mark up margin shall be subject to the change from time to time as may be decided by the member & / or the Exchange. In case of cheque, purchase of commodities will be allowed only after realization of cheque / payment received through RTGS/ NEFT/SWIFT or electronic transfer.
7. The initial deposit so paid shall be first utilised towards initial margin requirement as calculated by the Exchange

from time to time and the balance if any, after such adjustments against initial margin payments, will be available for adjustment against daily margin requirements, Mark to market (MTM) loss on open position created by the constituent. The algorithm of adjustment of margin may be change due to any reason such as method of adjustment change by Exchange or statutory bodies.

8. The Constituent shall deposit margin deposit with the Member in accordance with the regulations, rules and guidelines of the Exchange (s) in the form of funds or securities, In case of funds or securities such margin shall be interest free and in case of securities same shall be with valid transfer documents and Member can sell such securities in case of short fall of margin without intimating the constituent and the decision of the Member shall be final and binding on the Constituent.
9. The Constituent agrees and authorizes the Member to determine the market value of securities placed as Margin after applying a haircut that the Member considered appropriate. The Constituent positions are valued at the latest market price available ('marked to market') on a continuous basis by the Member. The Constituent undertakes to monitor the adequacy of the collateral and the Market value of such securities on a continuous basis. If due to price fluctuations, there is erosion in the value of the margins, the Constituent agrees to replenish any shortfall in the value of the margins immediately, irrespective of intimation of such shortfall in margin from the member.
10. The Member may at its sole discretion prescribe the Margin to be paid by the Constituent in the form of cash instead of securities. The Constituent undertakes to comply and deposit the margin in such form and in such manner which is acceptable to the Member time to time before purchase and as and when margin fall short, immediately, failing which the Member may sell, dispose, transfer or deal in any other manner the securities already placed with it as margin or otherwise and/or square off the positions of the Constituents as it deem fit in its discretion without further reference of the Constituent and losses/ profit due to such square off/ sale shall be borne by the Constituent and the Constituent hereby fully indemnifies and keep the member harmless against all or any such losses.
11. The Constituent agrees and acknowledge that the Member collect the margin and deposit the margin with the Exchange (s) in accordance with the rules and regulations of the Exchange or clearing members of the Exchange (s) or with banks or institutions to avail the limit of exposure in the Exchange and as such securities placed by the Constituents as margin with the Member and Member may further placed the same as Margin with the Exchange (s), clearing houses, banks, institutions as deem fit for securing margin limit. The Constituent authorizes the Member to do all such acts, deeds and things as may be necessary and expedient for placing such securities held by the Member as Margin with the Exchange s / banks / institutions as margin/surety.

12. Any reference in these terms to sale or transfer of securities by the Member shall be deemed to include sale of the securities which form part of the Margin maintained by the Constituent with the Member. In exercise of the Members right to sell securities under this MOU or under the rules and regulations of the Exchange or Clearing Houses, the Constituent agrees that the choice of specific securities to be sold shall be solely at the Member's discretion.
13. The Constituent is responsible for all orders, including any orders that may be executed without the required Margin in the Constituent's account. If the Constituent's order is executed despite a shortfall in the available Margin, the Constituent shall, whether or not the Member intimates such shortfall in margin to the constituent, instantaneously make up the shortfall either by delivery of shares / commodities/ transfer of funds to the Member via banking channel or personal cheque, cashier's cheque or money order or account transfer or any other mode and shall intimate the member immediately.
14. The constituent shall accept all trades executed, resulting from the orders placed with the member, irrespective of the fact that the order is executed partially or in full , on the Exchange .
15. If payment/securities towards the Margin or shortfall in Margin is not received instantaneously to enable restoration of sufficient Margin in the Constituent's account, all or some of the positions of the Constituent as well as the commodities placed as Margin may be liquidated by the Member at its sole discretions, without any reference or prior notice to the Constituent. The resultant or associated losses that may occur due to such squaring off or sale of commodities shall be borne by the Constituent, and the Member is hereby fully indemnified and held harmless by the Constituent in this behalf. Such liquidation or close out of positions shall apply to all open positions or to any segment in which the Constituent does business with the Member.
16. Notwithstanding anything contained in these presents, any amounts which are overdue from the constituent or from a member of the constituent's family/ group due to any reason to the Member or to any of the Member's group or associate companies, a delayed payment charges shall be levied at the rate of 1.5 % per month or such other rate as may be determined by the Member time to time. The constituent hereby authorizes the Member to directly debit the same to the his/ its account at the end of each month/ fortnightly or as may be decided by the member from time to time. The constituent also authorizes the Member to debit charges for depository services in his/ its trading account.
 - a. The constituent also agreed that any outstanding amount in his account or his spouse/ relative or any company in which he is director or substantial share holder, shall be adjusted by the Member out of credit balance in any other aforesaid account.
 - b. In case where constituent is a company, it authorized adjustments of any debit balance out of credit balance of any other company in which there is atleast one common director or having same share holder or group of share holders having substantial interest or from the credit balance/shares or commodities in individual account of the directors. The company further assures that required permission and resolutions/ authorization has been passed as per the law.
 - c. Constituent also agrees that any balance outstanding in his/ its account for purchase & sale of Securities/Goods etc. would be adjustable inter-se company or in any segments/ Exchange.
17. The Constituents agrees that he/it has an option to receive the various statements including the contract notes in physical form. In order to ease the operations Constituent authorize Member to issue the Contract Notes, trade confirmations of the trades executed, bills and account statements of such other data, documents, notices, circulars, amendment including obligatory statements/ documents in digital/ electronic format by electronic communications. Accordingly the Member shall send the trade confirmation, account statements & others digitally signed contract note etc. via mail, e-mail, fax, sms on the telephone/ fax nos. / email ID etc. provided by the Constituents and Member shall also put all information on Member's web server for viewing and downloading of the Constituents. The Constituent understand that it is his / its responsibility to review the trade confirmations, the contract notes, the bills or statements of account etc immediately upon their receipt or by viewing/ downloading from web server.
 All information contained therein shall be binding upon the constituent, if the constituent does not object to any of the content(s) in writing within such time period as may be prescribed by the Exchange (s) / Regulatory authorities from time to time. In all cases, the Member reserves the right to determine the validity of the constituent's objection to the transaction. The constituent agrees that the Member will not be responsible for the non-receipt of the trade confirmation due to any change in the correspondence address of the constituent not intimated to the Member in writing.
18. The constituent understands that member may send communication to constituent by way of email / post / courier / fax / in digital format by electronic communication and or any other mode that member broker may deem fit. Constituent agrees and acknowledge that communication sent to constituent by the member in any mode stated herein at constituent latest available address with the member, shall be

deemed to be complete as and when it is put in a course of transmission by the member so as to be out of the control of member who make it as against the constituent, to whom it is made even if subsequently returned undelivered for any reason what so ever.

19. The Constituent above named does hereby directs and authorizes the Member above named and his / its agents / employees and authorized persons to receive telephonic, verbal, electronic instructions such as email / fax etc. and instructions through agents and to execute the same by placing orders, order modification requests or order cancellation requests etc. on his/its behalf on the trading system of Exchange (s) and agrees to indemnify the trading member from consequences thereof and to hold the Member harmless from any losses or consequences arising out of execution or non execution of orders given through any or all the media enumerated above.

20. The Constituent agrees that all orders entered into the trading system of the Exchange (s) on his behalf by the trading member and his / its agents / employees and authorized persons shall be binding on him/them. The Constituent agrees to indemnify and keep indemnified the Member and its agents/ employees and authorized persons from any consequences of such orders placed on his/its behalf including the losses or any other consequences flowing out of them.

The Constituent agrees that it shall not be open to him to challenge the correctness or otherwise of an order placed or an order not placed on his/its behalf and agrees to be liable for all orders placed on his/its behalf, and trades resulting there from, by the trading member and his / its agents / employees and authorized persons. The Constituent agrees that any loss due to any erroneous order entry/erroneous order modification shall be entertained by the member only to the extent of insurance claim received.

21. The Constituent further undertakes to collect or get collected from the Member and its agents / employees and authorized persons the Order placement Slip, Modification slip, order cancellation details, trade confirmation slips and contract notes etc. and agrees to indemnify and hold the trading Member harmless for any delay in such collection and non-collection by him/them from the office of the Member. The constituent understands that it is his responsibility to review the trade confirmation / view/save the contract notes/digital contract notes etc. and take necessary action in his/ its best interest. And all information contained therein shall be binding upon the Constituent if the constituent does not object to in writing to any of the contents within such time period as may be prescribed by the Exchange (s) / Regulatory authorities from time to time.

22. The Constituent further agrees and accepts that transmission of document/records/data and information including but not Limited to contract notes (including digital contract notes, and other electronic documents) through sms, electronic mail i.e., email/ mail attachment/ download available from website or fax to his/its last known email id , fax No., phone no., mobile no. etc. shall be deemed to have been properly delivered or served even if such communication is returned as unclaimed/ refused/ undelivered. The constituent agrees when the trades are done electronically on real time basis the faster communication is possible only through the electronic mode, which is more reliable, fast, accurate and economical, however the Member has an option to send the additional communication through post office/ courier on the last registered address of the Constituent.

23. The constituent agrees that the Member will not be responsible for the non-receipt of the trade confirmation/ contract notes or any other data/information due to any change in the address/ E-mail address etc. not intimated to the trading Member in writing. The constituent also understands that he will have to down load the data / information within a week of the trading date and the Member shall be at liberty to delete old data that is to say data more than a week old from the web server with out any notice.

24. **Policy regarding treatment of inactive accounts :** Constituent account will be considered as inactive if the constituent does not trade for a period of Six Months. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive. Steps will be taken for transferring the shares/credit balance, if any, to such client within one week of identifying the client as inactive. Whenever such inactive account holders restart trading, a telephonic / personal confirmation will be made from the client to ensure that there is no error in identification of the client.

25. The Constituent agrees to abide by the exposure limits ,if any, set by the Member or by the Exchange or clearing corporation or FMC from time to time.

26. If Constituent gives any order from a location outside India, he/she it shall ensure that orders are given in compliance with applicable laws of the that place/ country. The Constituent further agrees that he/it shall seek necessary legal or professional advice time to time. Constituent acknowledges that all relevant taxes, duties or any other charges/levies shall be paid by him/it in the relevant jurisdictional area and Constituent further agrees that he/it shall indemnify the Member for any claims, demands, actions, costs, liability, expenses etc., Member may suffer or incur in connection with or arising from Constituent residing or giving of any such order from a place outside India.

27. The Constituent agrees and undertakes to ensure that there will not be any attempt at price distortion and/or price rigging made through any means. The constituent hereby will keep indemnified the Member for any loss, claim, expenses, and liability in this respect.
28. The Member may from time to time impose and vary limits on the orders, which the Constituent can place through the Member. The Constituent is aware and agrees that the Member may need to vary or reduce the limits or impose new limits urgently on the basis of Member's perception and or other relevant factors and Member may be unable to inform the Constituent of such variations reductions or impositions in advance. The Constituent understands and agrees that the Member may at any time, at its sole discretion, and without prior notice, prohibits or restrict the Constituent's ability to place orders or trading in commodities through the Member. The Constituent agrees that Member shall not be liable for or responsible for such variations, reductions, or impositions or the Constituent's inability to route any order through Member on account of any reason but not Limited to any such variations reduction or impositions of limits.
29. The constituent further agrees that he/it will not be compensated by the Member for any "lost opportunity" viz. notional profits for any reason including on buy/sell orders which could not be executed due to any reason whatsoever, including but not Limited due to time lag in the execution of the order or the speed at which the system of the Member or of the Exchange s is operating, any shutting down by the Member of his/her/its system for any reason or the Member disabling the constituent from trading on its system for any reason whatsoever.
30. The Constituent is aware that the Member may not permit orders which are larger than that specified by the Member's risk management, by the Member and is also aware that the Member has the discretion to reject the execution of such orders based on its risk perception.
31. 31.1 The constituent agrees that all commodities warehouse receipts, securities and or monies and or other property (ies) belonging to the constituent which are deposited and or submitted and or under the control or possession of the Member and or its group/associate companies shall be subject to a general lien and /or set off for discharge of any obligation or indebtedness, in any Exchange /segment, in which constituent and or its family members are will be dealing of the constituent and or Members(s) of the constituent's family, to the Member and or any of its group/associate companies. In enforcing the right of lien and /or set off, the Member and or its group/associate companies shall have the sole discretion of determining the manner and time in which the commodities, warehouse receipts, securities and or monies and or assets are to be appropriated/ liquidated. The provisions of this clause shall apply not withstanding any other MOU to the contrary between the constituent and the Member. Constituent for the purpose of this clause further authorizes member to receive and or issue cheque(s) from and or to its group/associate companies.
- 31.2 For the purpose of this MOU 'family' shall mean and include the relative as defined in sec 6 of the Companies Act 1956 and or all individual companies, firms, entities and other persons as notifies from time by the constituent and or by the family member of the constituent to the Member and or to its group/associate companies and refers to and include any accounts(s) with the Member and or with its group/ associate company including any account opened by the family Member after signing this Agreement.
- 31.3 The Group/associate company (ies) for this MOU would mean and include Raghunandan Industries (P) Ltd, Raghunandan Capital (P) Ltd , Raghunandan Insurance brokers (p) Ltd , Raghunandan finance (p) ltd and or as the Member may notify from time to time through electronic communication or otherwise.
- 31.4 The Constituent agrees that the Member shall not be obliged to deliver any delivery of Commodity (ies) or pay any money to the Constituent unless and until the same has been received by the Member from the Exchange , the clearing corporation / clearing house, warehouse or other company or entity liable to make payment and or liable to deliver the Commodity and after the Constituent has fulfilled his / her / its obligations first. Any short delivery of the Commodity (ies) shall be dealt with as per the policy of the Member as amended from time to time.
- 31.5 The Constituent agrees and undertake to return back any excess deliveries/funds ever transferred to his/her/its deposits account(s), Bank account(s) registered with the Member and or other depository participant/Banks along with all corporate benefits, if any. Such excess transfer may take place on account of any reason including operational and technical errors.
- 32 The Constituent shall ensure that all the payments including towards pay-in obligation/margin obligation etc.in favor of Member are issued from the bank account of the Constituent and no third party cheques are issued or lodged into bank account of Member. For this purpose "cheque/cheque(s) would mean and include cheques, drafts, banker's cheques and or bank transfers in any other mode". In case of any such third

party cheque is received/lodged and or used for the obligation of the Constituent, and the Constituent does not inform the same to the Member in writing to corporate office and via electronic mail to askus@rmoneyindia.com within 24 hours from the delivery/display of the statements of account, data etc. to the constituent's by electronic communication or otherwise, then it shall be presumed that the Constituent has made the payment to the Member by way of a cheque from third party with the full authority and consent of the third party and in case any dispute and liability arises because of third party cheque/credit having been used by the Constituent, he/she/it shall be solely liable for all the consequences thereof including any criminal liability. The Constituent hereby indemnifies and shall keep indemnified Member for and against any loss/claim liability, action etc. including any criminal liability arising out of such act/negligence of Constituent directly or indirectly.

33. Notwithstanding anything stated above all communications including relating to orders, margin maintenance calls and other similar matters by the Member to the Constituent may be communicated orally or by the usual business practices generally followed and or as agreed between the parties, either expressly or impliedly.
34. Constituent agrees that the responsibility to manage his/ its open positions/ contracts shall be of him/its only. Constituent agrees and understand that member may not square off/close any or all open positions/ contracts of the constituent notwithstanding that, the constituent has not given written advise that constituent desires a delivery to be given / taken & / or constituent's advise is not supported by required clear funds &/or the margin or other payments required for any open positions/ contracts are not made available by the constituent. In such circumstances constituent agrees to give and/or take the delivery as per contract specifications with attendant costs and expenses or alternatively pay penalty if permitted under the procedures (including but not Limited to Exchange byelaws and regulations etc.) at losses / profits there form shall be entirely to constituent's account.
35. Payment of margins by the constituent does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins the constituent may on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.
36. 36.1 The constituent shall, at all time, be liable to pay Member all relevant charges and fees apart from brokerage, Exchange related charges, commission, statutory charges such as service tax and other taxes and transaction cost , stamp duty as per brokerage structure annexed in the constituent registration form and or notified by Member on the website(s) and or sent by

electronic communication and or sent by any other mode from time to time and in the event of default of payment of any of the above mentioned charges without prejudice to the other rights of the member , Member shall levy interest at rates as may be applicable from time to time based on the discretion of the Member which shall be binding on the Constituent.

- 36.2 The constituent authorizes the Member to debit charges for depository services, warehousing charges etc, , bank charges on account of dishonor of cheques, stop payment instruction charges, demand draft/pay order/PGP charges, NEFT/RTGS charges, call and trade charges, SMS charges, settlement/professional charges (as may be applicable to NRIs), research service/ message fee, trading platform charges, application money and processing charges for mutual funds, initial public offerings/follow on public offerings, right issues, fixed deposits, money market instruments, etc. generally various investment avenues/ products, processing fees/charges towards contract note/ settlement of account etc. and any other such or similar fees/charges which are due/may become due to Member from the Constituent and or family Member and or his/her/its group/associate company(ies)/ firm(s)/entities of the Constituent to the account of the Constituent.
37. 37.1 The Constituent agrees and authorizes Member to issue the contract notes, trade confirmations of the trades executed, bills and account statements or such other data, documents, notices, circulars, amendments to the Member Constituent MOU etc. including obligatory statements/documents to be sent to the Constituent related to his/its trading accounts with the Member, in digital format by electronic Communications, with the possible exception of graphic insertions. Such electronic communication shall be in the form of email and or email attachment including auto replies from the system of Member and/or posted only on the relevant section of the website (s) and /or in the form of download available on the website(s) www.rmoneymoneyindia.com as part of the back office services or otherwise. Website(s) for this purpose would also include sub pages, links, forms, applets etc. of the herein stated website(s). Every document, data etc. so sent shall contain all information including as is mandated by the concerned authority.
- 37.2 Member Would upload the digitally generated above referred documents/data etc. on the above referred website(s) and/or send by e-mail to the designated email id of the Constituent and the

same shall immediately on uploading be deemed to have been delivered to the Constituent. The Constituent specifically agrees that Member fulfills its obligation to deliver to the Constituent any such documents/data etc. if sent via electronic communication. The Constituent understands and agrees that it is his /its responsibility/ obligation to review regularly and or upon first receipt, all confirmation, statement, notices, contract notes, bills and other communications sent by electronic communication or otherwise. All information contained therein shall be binding upon the Constituent, if the Constituent does not object, either in writing by registered A.D. addressed & sent to the Member's corporate Office at 26/257B, Sultanganj, Near Ashish palace, Agra (U.P.) and via electronic mail to askus@rmoneyindia.com within such time period as may be prescribed by the Exchange (s) / Regulatory authority from time to time. The Constituent shall approach Member immediately intimating any inability to access or download of the above data, documents etc. failing which it shall be deemed to be the due delivery and acceptance of the data, document, data etc. sent to the Constituent via electronic mail/displayed by Member / on the website of the Member. In all cases, Member reserves the right to determine the validity of Constituent's objection to the transaction. While the above referred documents/data etc. made available to the Constituent via electronic communication would be the original documents/data delivered to the constituent. However, a physical copy of the digitally delivered contract note and/or above referred documents may be issued by the office/officers of Member upon his/its specific request in writing. The Constituent agrees that such copies are only a copy of the validly delivered contract notes, data, documents etc.

The Constituent agrees to verify the contents of the physical contract note so obtained with that of digital contract note delivered to the Constituent on electronically and any discrepancy(ies) will be brought to the notice of Member immediately. Constituent agrees to keep Member, its directors, its employees, indemnified against any discrepancy arising out of any reason, at all the times. The Constituent agrees that Member will not be responsible for non receipt of documents/data etc. sent via electronic delivery due to any reason but not limited to change in email address of the constituent or correspondence address. The Constituent also agrees that member shall not take cognizance of out-of-office/out of-station auto replies. The Constituent shall be deemed to have received such electronic communications immediately upon the

Member's sending of the electronic communications and specifically in case of email communication, non receipt of bounced mail notification from any one of the email addresses of the Constituent as referred in this clause hereinafter with the Member, shall amount to valid delivery.

- 37.3 If the Constituent's additional email is not updated in the Member's records as requested in above clause, within three working days of receipt of such updation request, the Constituent shall email request at askus@rmoneyindia.com. However, all the data/documents etc. as referred above sent by electronic communication as referred above shall be deemed to be received by the Constituent till the updation of the additional email id provided by the Constituent.
- 37.4 In addition to sending ECN (Electronic Contract Note) on designated email address of the Constituent member shall also make available ECN downloadable at the Member's website(s) through the back office login. This would enable the Constituent to view their contract notes, data documents etc. through back office software for which the login and password is issued to the Constituent by the Member.
- 37.5 Terms and condition of back office service are as under :
 - a. The member shall provide back office login and password on the designated email account.
 - b. 'Back office' or 'back office service' for this purpose shall mean and include access provided on member's above referred website(s) from time to time to the constituent to access the above referred documents, data etc.
 - c. The initial password sent by Member should only be used for the first login. The Constituent agrees and undertakes to immediately reset his/her/its password(s) upon the first login. Member shall not be responsible to retrieve the password. Constituent will have to make a request for creating a new password.
 - d. Member shall not be responsible to maintain or provide the backup of the emails at any point of time.
 - e. The Constituent shall be solely responsible for keeping the password(s) confidential and secure and shall be solely responsible for all transaction done by any person whatsoever through the Constituent's email id and/or back office login.
 - f. The Constituent shall log off from back office service, whenever he/she/it is not accessing or using the service. Any liability incurred to the Constituent as a consequence of the Constituent not logging off the service shall be borne solely by the Constituent.

- g. The Constituent shall, within 24 hours on his/her/it becoming aware, notify Member in writing with full details if:
- He/she/it discovers or suspects, unauthorized access through his/her/ its password(s) or
 - Notice discrepancies that might be attributable to unauthorized access.
 - Forgets password(s) or
 - Discovers a security flaw in the back-office service
- In any of the above events specified, the Constituent shall immediately change his/her/its password(s). However, if the Constituent is unable to change his/her/its password(s) any reason including of his/her/its having forgotten his/her/its password(s) or his/her/its password(s) having been unauthorizedly changed by some other person or for any other reason then the Constituent shall immediately request Member in writing and follow the instructions given by Member. Member shall not be liable for any loss, whether notional or actual, that may be suffered by the Constituent on account of the misuse of the password(s) at any point of time.
- 37.6 Member shall deliver to the Constituent password on designated email id or through post.
- 37.7 The Constituent is responsible for installing, operating and maintain the communication equipment, but not Limited to personal computers and modems , software, tools, telephone or alternative service required at the Constituent's end and connectivity required for using and accessing the website , back office , email account(s) , electronic contract notes , or any other documents etc. as may be sent from time to time by the Member whether required by law or not or any other related service at his/her/its cost. The Member will not and shall not be under any obligation to assist the constituent in operating ,installing and / or maintaining any such communication equipment/ infrastructure or obtaining any permits. clearances etc. for establishing connectivity or linkages to the website(s) of the Member.
- 37.8 The Constituent declares that he/she/it has fully read and understood the terms-and condition of back office service and agrees to abide by all the terms and conditions mentioned above.
38. 38.1 Code of conduct to be maintained for using the website(s) of the Member: The Constituent agrees not to:
- 38.2 Modify, copy, distribute, transmit, display, publish, license, create Derivative , works from, transfer or sell any information, designs, logos, trademarks, software , facilities, products or services obtained on or through the website(s) , except as permitted by the copyright owner or other right holder thereof.
- 38.3 Post or transmit any unlawful, fraudulent, libelous, defamatory, obscene, pornographic, profane, threatening, abusive, hateful, and offensive or otherwise objectionable information or statement of any kind including without limitation any information or statement constituting or encouraging conduct that would constitute a criminal offence, give rise to civil liability, or otherwise violate any local, state, national, foreign or other law.
- 38.4 Post or transmit any advertisement, solicitations, chain letters , pyramid schemes investments opportunities or schemes or other unsolicited commercial communication (except) as otherwise expressly permitted by the Member or engage in spamming or flooding.
- 38.5 Post or transmit any information or software which contains a virus, worm or other harmful component.
- 38.6 Post, publish , transmit, reproduce, or in any way exploit any information, software or other material obtained from or through the website (s) for commercial purpose (other than as expressly permitted by the Member and or provider of such information, software or other material)
- 38.7 Post, publish, transmit, reproduce, or in any way exploit any information, software or other material obtained on or through the website(s) which is protected by copyright or other proprietary right, or Derivative works with respect thereto, except as permitted by the copyright owner or Member other right holder thereof.
- 38.8 Upload, post, publish, reproduce, transmit or distribute in any way any component of the website (s) itself or Derivative works with respect thereto, except as permitted by the Member or the copyright owner or other right holder thereof. The Member being copyright under the relevant laws.
- 38.9 Attempt to decompile or reverse engineer any of the software available on the website(s) and/or provided by the Member.
- 38.10 Make any attempt to hack into the website(s) or otherwise attempt to subvert any firewall or other security measure of the website(s) and on becoming aware of any shortcoming in the security on the website(s) he/she/it shall forthwith inform Member of the same in writing.
- 38.11 Use any software provided on, by or through the website(s)/ of the Member except for the purpose for which it has been provided to the constituent and for no other purpose.
39. Quotes, research information, historical information and other content on the website(s) is provided by various third party service providers from time to time.

Daily updates are subject to receipt from the respective third party data contributors. The latest quotes in are subject to market fluctuation and will be subject to a delay. Market quotes and other information on the website(s), as well as reference materials or links to other sites, are for general informational purposes only and are not intended to be relied upon for transactional or other purpose. Neither the Member nor any of its data or content providers shall be liable for any errors or delays in the content , or for any actions taken or omitted to be taken in reliance thereon, Opinions expressed in any information contained on the website (s) are no indications of prospective rating/grading. Any rating awarded by the content providers, Affiliate Partners, Service Providers, the Member or website (s), should not be treated as a recommendation to buy/sell hold any Commodity /Security. The constituent shall rely exclusively on his/her/its best judgment in respect thereof.

40. The Constituent hereby agrees to use the facilities, data and information which is provided by the Member or which may become available to the Constituent as a result of Constituent's relationship with the Member purely for permitted purposes and only for personal use and agrees never to disseminate any information or data for an reason or purposes whatsoever except under a written authority signed by the person specifically authorized for this purposes by the Member, the responsibility to ascertain which shall be of the Constituent alone.

41. Research / Trading recommendation: The Constituent understands that the Member may produce fundamental and trading research / notes / trading calls / technical calls, particularly on companies, industry, stock markets, Commodity markets and economy from time to time (collectively hereinafter referred to as "material"). The Constituent hereby requests the Member to provide him/her/it with the material through email or by access to the website (s) of Member or through SMS or any other mode on a voluntary basis.

By agreeing to receive such material the Constituent is aware that this material provided to him/her/it is only for his/her/its personal information and he/she/it undertakes that the same shall not be reproduced or redistributed to any other person. The Constituent understand that this material is not an offer or the solicitation of an offer to buy any securities/ commodities. By sending this material on his/her/its request, Member or any of its officers, directors, personal and employees shall not be liable for any loss damage of any nature, including but not Limited to direct, indirect, punitive, special exemplary, consequential, as also any loss of profit in any way arising from the use of this material in any manner. The Constituent is aware that the investments discussed in this material may not be suitable for all investors. He/She/it shall, therefore, before dealing and/or transacting in any of the products referred to in this material, make his/her/its own investigation, seek appropriate professional advice. The Constituent alone

shall be fully responsible/liable for his/her/its investments/ disinvestment on the basis of this material. The Constituent also agrees that Member may discontinue providing such material to him/her/it and that it would have no responsibility to update any information provided to the Constituent nor does it represent that the information provided in the material is complete. Further by providing such material Member is not acting as his/her/its portfolio or financial adviser nor does it assumes any fiduciary duties.

42. Constituent agrees that constituent may be required to have its duly authorized agent to carry the work for effecting / taking the deliveries, if they do arise. Constituent agrees that if constituent fails to advise the Member at least 5 (five) days in advance of any delivery receipt/transfer out , in writing the details of the agent who shall undertake the relevant activities for and on behalf of the constituent, the member shall stand authorized to appoint an agent on constituent's behalf. Constituent agrees not to hold member responsible for may acts of omission / commission or deficiencies in the service of the person who is appointed as agent for and on behalf of the constituent by the member. Constituent agrees that such agent appointed by member shall be constituent's direct agent and not a sub-agent and constituent shall be directly responsible for all acts of omission and commission of the agent appointed for and on behalf of the constituent by the member. Constituent agrees never to call into question any of the act of agent appointed by member and agrees to bear any & all losses which may occur on account of action taken / omitted by said agent .Constituent agrees that all charges , cost , levies and taxes etc associated with or incidental to the deliveries including cost/fee/ charges of agent appointed for and on behalf of the constituent by the member shall be fully borne by constituent alone.

43. Constituent undertake to indemnify the Member for any penalty/charges which might be levied by any regulator i.e. FMC /Exchange for non-adherence by the Constituent with any rules/regulations/circulars/ instructions etc. issued by such regulator.

44. The Member shall not liable for any inaccuracy, error, false statement, misrepresentation or fraud committed by any sales or other associates / third parties engaged by the Member to promote the service offered by it. The constituent agrees that he/it places no reliance on such persons and will exercise due care and diligence in relying on any statements made by any persons.

45. The Constituent hereby agrees to hold the Member continuously harmless and indemnified against any claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned for any reason including but not Limited on account of the Member having entered into this MOU &/or having dealt with/for the Constituent and or due to breach of any of the Constituent.

46. Under no circumstances shall the Member or anyone involved in creating producing, delivering or managing the Member's service be liable for any direct, incidental, special or consequential damages that result from the use of or inability to use the service, delay in transmission of any communication, in each case for any reason whatsoever (including on account of breakdown in systems) or out of any breach of any warranty or due to any fraud committed by any person whether in the employment of the Member or otherwise.
47. If any provision or part of the provisions of these Terms are held invalid or unenforceable by reason of any law, rule, administrative order or judicial decisions by any court, or regulatory or self-regulatory agency or body, such invalidity or unenforceability shall attach only to such provision or terms and or part of such provision/term held invalid. The validity of the remaining provision or terms or part of such provision / terms shall not be affected thereby and these Terms shall be carried out as if any such invalid / unenforceable provisions or terms or part of such provision/term were not contained herein.
48. The Constituent hereby declares that all information which has been provided, is being provided and which shall be provided by the Constituent to the Member or any service provider under this MOU or in relation thereof or as consequences thereof, is and shall always be true to the best of his/its knowledge and if any losses or damages occur to the Member or any service provider because of the information provided by the Constituent being inaccurate, insufficient, fraudulent etc. the Constituent shall be solely responsible for any & all consequences including damages which may be suffered by the Member/service provider either directly or indirectly against which the Constituent hereby agrees to indemnify the Member / service provider and agrees to hold the Member and/or any & all service providers absolutely harmless and to pay on demand any sums which may be demanded by the Member or any service provider on account to such damages or losses as may be suffered or are likely to be suffered by them.
49. The Constituent understands and agrees that certain details provided in their trading/ Back Office account etc. would not be on a real time basis. The Constituent further understands and agrees that such details would be updated by the Member /its group / associate companies on best efforts basis within reasonable time . He/it not hold the Member and or its groups/associates companies responsible for any possible mismatches in the real time data and data as reflecting on the website(s) during the period the updations are not effected.
50. The Constituent agrees that he/it does not have any objection to the Member, its group/ associates companies, agents / representative to provide him/her/it information on various products, offers and services provided by the Member /its group/associates companies through any mode not Limited to telephone calls/SMS/emails and authorize the Member /its group companies, agents representative for the above purpose.
51. The Constituent hereby authorizes the Member to take all such steps on the Constituent`s behalf as may be required or advisable in the Member's opinion for compliance with the provisions of the Exchange or any other law to complete or settle any transactions entered into through or with the Member or executed by the Member on behalf of the Constituent. However, nothing contained herein shall oblige the Member to take such steps.
52. The Member shall provide its services on the best efforts basis. However the Member shall not be liable for any failure, loss, damages or other costs arising in any way out of:
- System failure including failure of ancillary or associated systems, or fluctuation of power, or other acts of God/Force majeure; or
 - Accident, transportation, neglect, misuse , errors, frauds of the Constituent or agents or any third party, or.
 - Any fault in any attachment or associated equipments of the Constituent or.
 - Any incidental , special or consequential damages including without limitation of loss of profit.
53. **Power of Attorney**
- 53.1 **Bank account.** If Constituent executes a power attorney in relation to the operation of its bank account, the Member is hereby authorized to directly operate the Bank accounts of the Constituent to the extent necessary to credit and debit the proceeds/dues, charges from/to the various transaction that are carried out by the Member and or its group/ associate companies on behalf of the Constituent and or its family member(s).
- The constituent also agrees and authorizes the designated Bank to block the required amount in the designated Bank account against the desired limits and settlement obligations solely on the instructions from the Member in this regard. Once the amounts in the account are blocked, the Member may, if the order of the Constituent gets executed either fully or partially, instruct the bank to transfer the amount equal to such obligation to the Member's account on the settlement date or the pay in or payout date and release the balance amounts that are blocked. The Constituent will not be allowed to withdraw, issue a cheque or otherwise use, the blocked funds in its account. The Member will not be liable in any manner for any direct/ consequential or special loss or claims that may arise due to any blocking of funds for any reason including erroneously instructed by the Member to the designated bank.

53.2 Freezing of the Accounts In a case where the constituent executes the power of attorney referred to above, the constituent shall be entitled to exercise the right to close/ freeze/pledge the accounts with the bank as the case may be, only if there is no obligation pending to be met by the Constituent or any Member of the Constituent FAMILY in favor of the Member and or its group/ associates companies in any forms including funds and/or security and on the confirmation of the same in writing by the Member.

54. The Member shall not be liable for any loss whatsoever whether notional or actual suffered by the Constituent on account of any misuse of the passwords and or due to postal delays or non receipt of Username and or password dispatched to the constituent.
55. The Constituent Confirms and agrees that he/it will be the sole authorized user [though used by authorized representative/family members as agent of Constituent] of the Username(s), login(s), Password(s). Customer User Identification Number (UIN), Telephone Personal Identification Number (TIN) or any other identification or security code (by whatever name called) to be given to him/her/it by the Member to access Member system and or service(s) through Member's web site, internet, over the telephone or in such manner as may be permitted by the Member for availing of the service. The Constituent accepts sole responsibility for use, confidentiality and protection of the Username(s)/ Login(s), Password, UIN, TIN or other security code(s) as may be issued by the Member to the Constituent from time to time (hereinafter to as "Security Codes) as well as for all orders and information changes entered into the Constituent's account using such security code(s). The Constituent shall ensure that such security code(s) it / are not revealed to any third party or recorded in any written or electronic form. if the Constituent forgets the security code(s) a request for change of such Security Code(s) should be sent to the Member in writing. delivered via additional email ID and or via registered AD post. On receipt of such a request, the Member shall discontinue the use of the old security code(s) and shall generate a new Security code(s) for the Constituent which shall be communicated to the Constituent. However, the Constituent shall be responsible and liable for all transactions that are carried out by the use of the old Security code (s). Neither the Member nor any of its officers, directors, employees, agents, affiliates or group/associates companies will have any responsibility or liability to the Constituent or to any other person whose claim may arise with respect to any of the circumstances described above.
56. Any order entered using the Constituent's security code(s) either through the web site on Internet or through telephone or otherwise is deemed to be that of the Constituent. if third parties gain access to the

Member's service through the use of the Constituent's security code(s), the Constituent shall be responsible for the same and hereby indemnifies and hold harmless and Member against any liability. **costs or damages arising out of claims or suits by or against such third parties based upon or relating to such access and use, since the primary responsibility for such transaction shall be that of the Constituent.** The use and storage of any information including, without limitation, the Password, Portfolio Information, transaction activity, account balances and any other information or orders on the Constituent's personal computer is at the Constituents own risk and is the Constituent's sole responsibility.

57. The Constituent agrees that the Member shall not be liable or responsible for non execution of the orders of Constituent due to any link system failure at the Constituent /Member / Exchange. The Constituent further agrees that although the orders are generally routed to the Exchange 's computer systems within a few seconds, the Member shall be liable for any delay in execution of any order or for any resultant loss on account of the delay.
58. **Electronic Payment Gateway terms and conditions** : The Member has and or may have relationship with one or more banks (hereinafter "Relationship Bank" and/or third party payment gateway service providers (hereinafter "TPPGSP"). The website(s) of the Member has and or shall have a payment window through a link to the web site of the Relationship Bank(s)/TPPGSP(s) which provide the facility for transfer of funds. In such a case, the Constituent would make the payment of any indebtedness including invoice amount etc. to the account of the Member with the Relationship Bank(s)/ TPPGSP(s) by means of a fund transfer. The Member expressly states that the payment gateway mechanism is a service offered by the Relationship Bank/other third parties (TPPGSP) with whom the Member has/may established/ establishes relations for facilitating the transfer of funds between the Constituent's account and the Member's account. The Member expressly excludes liability for consequential loss or damage or loss of profit , business and revenues , goodwill or anticipated savings which may arise in respect of
 - (i) the payment gateway services offered by such Relationship Bank(s)/ TPPGSP(s)
 - (ii) the Payment Mechanism.
59. Member may at any time amend the Member Constituent MOU by modifying or rescinding any of the existing provisions or conditions or by adding any new provision or condition, by providing notice to constituent by electronic communication or through postal service or through courier or by personal

- messenger or by hand delivery or any other method as per discretion of Member. The continued use of Member's Service after such notice shall constitute acknowledgement and acceptance of such amendment. However, the Constituent has right to terminate the Member Constituents MOU through communication in writing by giving one month notice subject to the meeting of the financial and other obligation under the existing MOU
60. 60.1 The Constituent assures the Member that he/it is eligible to enter into this MOU under the provisions of applicable laws. The Constituent shall continuously monitor his/ its eligibility to act under this MOU under the applicable laws including but not Limited to any act /law/rules & regulations for the time being in force and byelaws / Rules / Regulation of relevant Exchange (s).
- 60.2 The Constituent shall ensure the he/it shall not deal through the Member on the Exchange of which he/it is registered as a broker.
- 60.3 In connection with this MOU, as well as transaction contemplated by this MOU as offered by the Member from time to time The Constituent agrees to execute and deliver/ provide such additional document/ information and to perform such additional actions which may be necessary, appropriate or requested to carry out or evidence the transactions in respect of the services availed by the Constituent from time to time.
61. The Constituent hereby solemnly affirm and declare as under:
- 61.1 That Its registration with member is in own capacity and is for transacting on its own account and that no one expect the constituent have any interest in the account with member.
- 61.2 That Constituent shall not act further as an intermediary / sub-broker in any manner whatsoever for the transactions executed in any segment of any Commodity Exchange (s) in its account with Member.
- 61.3 That in the event of Constituent transacting with Member on account of authorisations by its family members & relatives, such act shall be done by Constituent in its own capacity.
- 61.4 That is all the above cases all transfers of amounts / securities shall be effected by Constituent to Member from its own Bank and/or DP accounts only.
- 61.5 That Constituent further state that if anybody makes claim of any amounts / securities on account of the transactions in its account, the said act shall be null and void and shall be ineffective from all corners.
- 61.6 In case Member finds that Constituent is acting as an un-registered Sub-broker, Member can immediately cancel/suspend Constituent's account and adjust all credit against liabilities (if any) of the Constituent with Member in any Exchange / segment or with Member`s group companies.
- 61.7 That Constituent shall inform Member any of its registration in any capacity with any other member of the Exchange (s) to transact on the same segment as at Member.
- 61.8 That Constituent shall check the entries with Member on a weekly basis and shall intimate anomaly if any in its A/c to Member in writing by every following Monday failing which the entries shall be treated as final and no claim, dispute of any kind shall be entertained subsequently by Member in this regard.
- 61.9 Constituent shall not make any payment to Member drawn on the account of any third party whether related to it or not and all payments shall be made from accounts that stand in Constituent's own name.
- 61.10 Constituent shall not make any cash [currency notes] payment to Member nor shall insist on any sales person/business associate to accept cash [currency notes] in lieu of cheque/demand draft. Constituent understand that Member does not accept cash [currency notes] from constituents and therefore any cash [currency notes] payment made by it to any staff shall be at its sole risk and Constituent absolve Member of all liability and claim in this regard.
- 61.11 Constituent understand that cash [currency notes] and third party payment of any kind are prohibited under rules of Exchange if despite this Constituent make any cash/third party payment in its trading A/c or to any sales person /authorized person / business associate Constituent shall render itself to criminal / civil action from Member. Constituent shall also indemnify Member from all claims, loss, liability that Member may incur on account of any cash/third party payment made by it in its trading account with Member.
- 61.12 Constituent hereby absolve member from all liability claims that arise from bonafide mistake typing errors etc. that occur in ordinary and regular course of business and shall not initiate any legal action without first intimating in writing its grievance to the Corporate Office at Agra.
- 61.13 That this is Constituent's irrevocable statement and shall continue to apply until its trading rights with RIPL are terminated.
62. The Constituent understands that sometimes Constituent may be having credit balance in his/her/its account with member & the Constituent agrees that no interest shall be payable on such amount as maintained with member. However, the Constituent may withdraw funds/ securities/commodities from his/her/its Account by specific instruction in writing to the member. The Constituent agrees that the member shall not be liable for any claim for loss of profit or for any consequential, incidental, special or exemplary damages, caused by retention of such commodities /securities/funds.

63. The Constituent agrees that the failure of the Member to enforce at any time any terms contained in this MOU shall not be construed to be the waiver of any terms or of the right thereafter to enforce each and every term.
64. The constituent agrees to immediately furnish information to the Member in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
65. The member and constituent are aware of the provisions of bye laws, rules and regulations of the Exchange relating to resolution of disputes / differences through the mechanism of arbitration provided by the Exchange and agrees to abide by such provisions.
The constituent understand and agree the Member is not under any obligation to inform the constituent of any exiting and or changes of regulation bye laws guidelines etc. of any authority FMC, Government, Commodity Exchange s etc. as may be in force from time to time.
66. Except for the claims/disputes which are subject to the Rules and Regulations of the respective Exchange s on which the trades have been executed, any and all claims and disputes arising out of or in connection with the dealings between member and the constituent shall be settled by arbitration by a single arbitrator to be appointed by the Member. The parties agree that the arbitration shall be held at such place within India as the Member may at its sole discretion specify at the time of

or at any time prior or subsequent to the reference to arbitration. The arbitration shall be governed by the provisions of the Arbitration and Conciliation Act, 1996. The Courts at the place specified by the member for holding the arbitration proceedings or, if law does not permit the same, the court at Agra has the exclusive jurisdiction in relation to any dispute , the arbitration or any matter or all matters arising in connection herewith or therewith.

67. The Constituent confirms having read and understood the terms and conditions of this MOU and accepts and agrees to be bound by the terms and conditions.
68. The provisions of this MOU shall always be subject to government notifications, any rules, regulations, guidelines and circulars issued by Forward Market Commission [FMC] or any other regulatory agency to be appointed by the Govt. and rules, regulations and bye laws of the relevant Commodity Exchange (s) as may be in force from time to time and all these shall be read as part parcel of the MOU unless repugnant to the context.
69. Words and expressions which are used in this MOU , but which are not defined herein shall, unless the context otherwise requires , have the same meaning as assigned there to in the rules , byelaws and regulations on the Exchange and circulars issued there under. The masculine gender include the feminine gender and singular word include the plural words and vice versa.

SIGNED for and on behalf of

M/s. **RAGHUNANDAN INDUSTRIES (P) LTD.**

Signature : _____

Name : _____

Title : _____

Witness :

Signature : _____

Name : _____

Address : _____

Place : Gurgaon

SIGNED for and on behalf of CLIENT

Signature :  _____

Name : _____

Title : _____

Witness :

Signature : _____

Name : _____

Address : _____

Date : _____ Day of _____ 20____

Undertaking cum indemnity-in respect of facsimile instruction for operation of Trading Account

To,

Raghunandan Industries Pvt. Ltd.

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior - 474009

Corp. Office : 26/257 B, Near Ashish Palace, Sultan Ganj, Agra - 282004

I/Weresiding at.....
execute this UNDERTAKING CUM INDEMNITY in favour of **Raghunandan Industries Pvt. Ltd.** (a company incorporated and registered under the Companies Act, 1956) and having its **Regd. Office at Udaygari Bhasker Lane, Jayendra Ganj, Gwalior-474009 (M.P.)** and **Corp. Office 26/257B, Near Ashish Place, Sultan Ganj, Agra (U.P.)-282004**. Hereinafter called "the Member" (which expression shall unless it be repugnant to the context or meaning thereof mean and include its successors in title) as follows :

WHEREAS I/ We got registered with the Member as client for the purpose of doing various transactions in the Exchanges at its administrative office located at 26/257B, Near Ashish Place, Sultan Ganj, Agra (U.P.)- 2842004 and the Member allotted a client Code _____ for the purpose in accordance with the rules and regulations of the Exchanges and I/ We or the persons authorized [Hereinafter referred as "Authorized Representative" or "AR"] by me/us deliver the orders and instructions to the Member and operate the said Trading Account.

AND WHEREAS the transactions in Exchange take place on Real Time basis by using computers and using modern technologies and electronic equipments such as internet, v-set etc. I/We or AR communicate the Orders and instructions in different mode of oral and written communication by using modern technologies and communication equipments such as telephone, fax, scan copy, internet etc. since personal visit to office of the Member is not possible due to various constraints.

AND WHEREAS the Member also agreed to accept the oral instructions through telephone and written instruction through fax and scan copy, internet etc. signed by me/any one of us or by Authorised representatives subject to indemnity herein offered by me/us to the Members on the terms and conditions herein mention.

1. I/We shall transmit the instructions through Fax, Scan Copy to the designated fax number or Email ID of the Member for the purpose of operations in mine/ our Trading Account and Member may change such fax number and email ID due to any reason whatsoever including failure of any technology or electronic system.
2. I/we have/ had already submitted all our details including our specimen signature(s) to the Member through account opening form and shall also submit the change in details such as phone numbers, emails addresses etc. including my/ our specimen signature and specimen signature of all our Authorised representatives along with list of AR time to time to the Member. I/We undertake to send the Fax and Scan Copy signed by me/any one of us or by AR.
3. That the instructions and orders send through the Fax/ Scan Copy send by me/ any one of us/ or by any of our AR(s) or send by my/ our behalf shall be binding on us and I/ We shall not dispute such orders/ instructions send to the Member through Fax/ Scan copy due to any reason whatsoever including the amount of money involved, ambiguity or lack of clarity or any error of communication system or equipments
4. The Member is hereby fully authorized to rely and acts on the orders and instructions send to them via Fax and Scan Copy in my/our best interest. The Member is under no obligation to act upon such orders and instructions and may exercise their due diligence and skill in the mine/ our best interest.
5. I/ We agree and accept that in spite of receiving the Fax/ Scan copy containing the orders and instructions the Member is under no obligation to do any of the followings action or non actions: -
 - (i) Member is under no obligation or bound to check the genuineness of such Fax/ Scan copy and Member may bona-fide believe that such Fax/ Scan Copy is send by me/us or my/our AR on my/ our behalf.
 - (ii) Member is under no obligation or bound to check and tally the specimen signature of mine/ any one of us or my/ any of our AR(s).
 - (iii) Member is under no obligation or bound to check the source of the Fax and Scan Copy.
 - (iv) Member is under no obligation or bound to confirm (whether orally, in writing or otherwise) the genuineness of any Fax, Scan copy or receiving or not receiving the Fax/ Scan copy.
 - (v) Member is no obligation or bound to rely on such instruction or to act on such orders and instructions.
 - (vi) Member is under no obligation or bound to act on such instructions and orders and member is free to act or refuse to act on such instructions and orders.



- (vii) Member is under no obligation or bound to communication to me/ us or our AR about the action to be taken or not to be taken [action taken or not taken] by the Member. But in any case Member shall continue to send the contract note as per the agreed terms and in accordance with the Rules and Regulations of the Exchange.
6. I/We shall upon making any Fax Submission / Emailing Scan Copy hereunder, deliver to the member without any delay within 2 working days, the original hard copy of the Fax Submission / Scan Copy but the member may , but shall not be obliged to, await receipt of the Hardcopy prior to taking any action in connection with the Fax Submission and shall not be obliged to follow-up with me/us for the originals. Further the storage of a photocopy of the Fax transmission sent to me/us shall be conclusive evidence of delivering orders and instructions to the member for having acted on each orders and instructions and I/We hereby agree and acknowledge the same and bound myself/ourselves for send”.
7. The member shall not be liable for any losses or damages which I/We may suffer as a consequence of the member acting or not acting in accordance with or in reliance upon, any Instruction submitted through Fax / Scan Copy via Email or otherwise pursuant to the authority conferred herein, upon the member.
8. I/We shall indemnify the member and save harmless , at all times against any and all claims, losses, damages, costs liabilities and expenses incurred, suffered or paid or incurred by the member or required to be incurred, suffered or paid by the member and also against all demands, actions suit, proceedings made, filed / instituted against the member, in connection with or arising out of or in relation to or as a consequence of:
- The member acting or not acting pursuant to, in accordance with or relaying upon, any Fax submission or otherwise pursuant to the request and authority conferred herein and/or;
 - The member acting or not acting pursuant to, in accordance with or relying upon any Fax Submission received by the member which it believes in good faith to be such a fax Submission; and/or;
 - Any unauthorized or fraudulent Fax Submission to the member if member believes in good faith to be a fax submission be me/us.
 - The member not having acted on the Fax submission due to non-receipt of the transmission or receipt of incomplete or partly / fully unreadable transmission.
9. The member shall not be under any obligation at any time to maintain any facility for the receipt of any Fax Submission or to ensure the continued operations or availability of any such facsimile facilities or equipment, and/I/We shall not hold the member liable for any loss consequent to non-availability of the said facility.
10. This indemnity is without prejudice to the members other rights, privileges, powers, and remedies in law and other agreements and the member may delay enforcing its rights without, at any time, losing them and any waiver of a right by the member hereunder or available to it by law, shall not be deemed to be a waiver of any other rights or of the same right at another time.
11. The Provisions relating to arbitration contained in the agreement executed by me/us in favor of the member shall be applicable to any dispute or difference that may arise in respect of such fax transmission including all disputes with regard to the receipt of the fax or other electronic Transmission by the member or the claims of losses and/or damages by us or by the member due to or arising out of such fax submission.

I/We specifically agree and confirm that regardless of the place from which the fax transmission in question may have been transmitted to the member any matter or issue arising hereunder shall be governed by and construed exclusively in accordance with the Indian laws.

Given by

Signature  _____

Name

Witnessed

Signature

Name

Address

Place : Gurgaon

Date : _____ day of : _____ 20_____

LETTER OF AUTHORITY

Date : _____

Client Name : _____

Raghunandan Industries (P) Ltd.

Client Code : _____

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Dear Sirs,

Sub : Letter of Authority

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

1. I / We authorise you to setoff outstanding in any of my accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange and/or against the value of cash margin or other collateral provided to you by me / us.
2. I / We hereby authorise you not be provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I / We shall get the required details from contracts issued by you.
3. I / We hereby authorize you to keep all the commodities which 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 commodities 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 to the Commodity Exchange or otherwise.
4. I / We hereby authorise you to maintain a running account.
5. I / We request you to retain credit balance in any of my account and to use the ideal fund towards our margin/future obligation of all the exchange unless I / We instruct you otherwise.
6. I/We request you to settle my fund and securities account ☐ **Once in every calendar Quarter** or ☐ **Once in a calendar Month** or such other higher period as allowed by FMC/Commodity Exchanges time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
7. I / We request you to retain/Commodity/Securities/warehouse receipt in your Demat account for my / our margin / future obligations at both the Exchanges, unless I / We instruct you to transfer the same to my / our account.
8. I / We request you to consider my / our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me / us all the confirmation on telephone unless instructed otherwise in writing. I / We am / are getting required details from contracts issued by you.
9. I / We will collect from your office contract notes, bills, securities, etc. as per my convenience.
10. I / We confirm that I / We will not sublet the trading terminal on any term of connectivity from my / our place under any circumstances.
11. I / We shall abide by the rules regulations/guidelines circulars of the exchange issue from time to time as applicable and shall be liable for non-adherence.
12. All fines/penalties and changes levied upon you due to my acts / deeds or transactions may be recovered by you from my account.

Thanking you,

Your faithfully,

Signature of the Client :  _____

AUTHORISATION FOR CONSENT LETTER FOR INTIMATION CALLS / SMS

To,

Date : _____

Raghunandan Industries (P) Ltd.

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Sub : Consent letter for intimation calls/SMS/ email

I/We Mr./Ms./Mrs. _____ having a trading account bearing client code _____ with you, do hereby confirm that I/we have no objection if I/we receive Call, Message and Email, on my under mentioned contact number/Email address:

Mobile No.

1.....

2.....

3.....

Email Address:

1.....

2.....


3.....

from and on behalf of the company in respect of services being rendered to me/us or about financial transaction in my/our account or short margin call or order/trade confirmation call or Trade confirmation SMS/Email or for any change in exchange (s) or regulatory norms or any other procedural information /communicated by the company in relation to my/our account

I/We agree and understand that the calls/SMS/Email are beneficial for me/us as the same are keeping me/us updated in relation to my/our dealing with to company.

I/We also understand that the above authorization can be revoked by me/us at any time by giving notice through physical letter by registered post at your above mentioned address.

Yours Sincerely

Client Signature  _____

Client Name _____

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

To,

Raghunandan Capital (P) Ltd.**Raghunandan Industries (P) Ltd.**

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

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

refer to my Trading A/c _____ with Raghunandan Industries (P) Ltd. (RIPL) and demat Account _____ with Raghunandan Capital (P) Ltd. (RCPL) do hereby affirm, declare and undertake that

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

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

Client Signature  _____

Client Name _____

To,

Raghunandan Industries (P) Ltd.

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

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 : _____

Signature of the Client :  _____

Date : _____ Place: _____

Verification of the client signature done by,

Name of the designated officer of the Member

Signature

Date :

REQUEST FOR TRADING IN COMMODITY FORWARD CONTRACTS / COMMODITY DERIVATIVES ON NCDEX / MCX / NMCE / ICEX / ACE

To,

Raghunandan Industries (P) Ltd.

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Dear Sir,

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

I/We, the undersigned, have taken cognizance of circular no. MCX/338/2006 dated August 21, 2006 issued by the Multi Commodity Exchange of India Ltd. (MCX), circular no NCDEX/TRADING-I 14/2006/247 dated September 28, 2008 issued by the National Commodity & Derivatives Exchange Limited (NCDEX), circular no ACE/T&C- 004/20101007 dated October 26, 2010 issued by the Ace Derivatives And Commodity Exchange Ltd.(ACE), circular no. NMCE/2010-11/0093 dated 25th February 2011 issued by the National Multi Commodity Exchange Limited (NMCE) and ICEX/Trading/2012/220 issued by the Indian Commodity Exchange Limited (ICEX) on the guidelines for calculation of net open positions permitted in any commodity and I/We hereby undertake to comply with the same.

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

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

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

Yours faithfully

Signature of CLIENT :  _____

Sole Proprietor/Partner/Director/Karta/Trustee

AUTHORITY FOR COLLECTION OF DOCUMENTS

To,

Date :

Raghunandan Industries (P) Ltd.

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Dear Sir,

In reference to my/our dealings with you as your constituent, I/we hereby authorise the following persons to collect acknowledge various documents such as contracts, bills, ledger statements, cheques or any other documents on my /our behalf and the same will be binding on me/us.

S.No.	Name	Full Signature	Initials

Thanking you,

Client Signature  _____ Client Name : _____

FOR OPENING COMMODITY DEMAT ACCCOUNT

RAGHUNANDAN Capital Pvt. Ltd.

Depository Participant - CDSL

DPID : 12069700 • SEBI Regn. No.: IN-DP-CDSL-607-2011

Compliance Officer's Details : Name : Neeraj Kumar • Ph. : +91-562-4039212 • E-mail Id : rmcompliance@rmoneyindia.com

CEO's Details : Name : Saurabh Mittal • Ph. : +91-562-4039217 • E-mail Id : saurabh.mittal@rmoneyindia.com

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior - 474009 (M.P.)

Corp. Office : 26/257B, Sultanganj, Near Ashish Palace, Agra - 282004 (U.P.)

Ph.: 0562-4039217, 4039219 Fax : 0562-2526550

E-mail : askus@rmoneyindia.com

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PART - III FORMATS*

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3.	HUF Declaration	Declaration to be given by HUF coparceners for opening trading and DP account on the name of Karta/HUF.
4.	Board Resolution Format	Board Resolution to be given by company on their letterhead to open trading, DP account and appointing authorized signatories.
5.	Banker's Verification Format	Letter to be provided by investor on Bank's Letter Head for verification of signature.
6.	Format for non individual	To provide additional details of KARTA/Whole Time directors/All Partners/Promoters & Trustees.
7.	KRA for Individual	Format for KRA registration need to be filled by all joint holders/authorized signatories in case of joint holders/non-individual account

***Formats are available on our website www.rmoneymoneyindia.com under download section.**

I/We have fully understood the distinction and details regarding the Non Mandatory/Voluntary/Special Facility documents and do hereby enter and sign the same and agree not to call into question the validity, enforceability and applicability of any voluntary / optional agreement(s)/document(s) or clauses within any voluntary/optional agreement(s)/document(s) under any circumstances what so ever.

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(Signature of Client)

CONTACT DETAIL FOR INVESTOR GRIEVANCE

For any grievance/dispute please mail us at askus@rmoneyindia.com or contact us on 0562-4039999.

In case not satisfied with the response, please contact the concerned depository at :

Exchange Name

Central Depository Services (India) Ltd.

E-mail ID

complaints@cdslindia.com

Phone No.

1800-200-5533





RAGHUNANDAN Capital Pvt. Ltd.

SEBI REGN. NO. : IN-DP-CDSL-607-2011 • DP ID 12069700

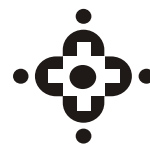
Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior - 474009 (M.P.)

Corp. Office : 26/257B, Sultanganj, Near Ashish Palace, Agra - 282004 (U.P.)

Ph.: 0562-4039217, 4039219 Fax : 0562-2526550

E-mail : askus@rmoneyindia.com

MANDATORY



ADDITIONAL DETAILS FOR OPENING A DEMAT ACCOUNT (FOR INDIVIDUAL)

(To be filled by the Depository Participant)

Application No.											Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																			
DP ID	1	2	0	6	9	7	0	0	Client ID										

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a demat account in my/our name as per following details :

HOLDERS DETAILS

Sole/First Holder's Name		PAN												
Second Holder's Name		PAN												
Third Holder's Name		PAN												

Name*

* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

TYPE OF ACCOUNT (Please tick whichever is applicable)

<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual Director	<input type="checkbox"/> Individual Director's Relative
	<input type="checkbox"/> Individual HUF/AOP	<input type="checkbox"/> Individual Promoter	<input type="checkbox"/> Minor
	<input type="checkbox"/> Individual Margin Trading A/c (Mantra)	<input type="checkbox"/> Others (Specify)_____	
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI Non-Repatriable	<input type="checkbox"/> NRI Repatriable Promoter
	<input type="checkbox"/> NRI Non-Repatriable Promoter	<input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> Others (Specify)_____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National-Depository Receipts	<input type="checkbox"/> Others (Specify)_____

DETAILS OF GUARDIAN (in case the account holder is minor)

Guardian's Name		PAN											
Relationship with the applicant													

I/We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be 'Yes')	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No	
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I/We request you to send Electronic Transaction-cum-Holding Statement at the email Id _____	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Do you wish to receive dividend/interest directly in to your bank account given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No
--	--

BANK DETAILS (Dividend Bank Details)

Bank Code (9 digit MICR Code)										
IFS Code (11 Character)										
Account Number										
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify)_____									
Bank Name										
Branch Name										
Bank Branch Address										
City		State		Country		PIN				

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque books is issued, (or)
 (ii) Photocopy of the Bank Statement having name and address of the BO.
 (iii) Photocopy of the Passbook having name and address of the BO, (or)
 (iv) Letter from the Bank.

➤ In case of option (ii), (iii) and (iv) above, MICR Code of the branch should be present/mentioned on the document.

SMS Alert Facility Refer to Terms & Conditions given as Annexure 2.4	MOBILE No.: +91-..... [Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	<input type="checkbox"/> Yes <input type="checkbox"/> No
Easi	To register for easi , please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	<input type="checkbox"/> Yes <input type="checkbox"/> No

NOMINATION DETAILS

Nomination Registration No.		Date	D	D	M	M	Y	Y	Y	Y
-----------------------------	--	------	---	---	---	---	---	---	---	---

I/We the Sole Holder/ Joint Holder / Guardian (in case of minor) hereby declare that :

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

Full Name of the Nominee										
Address										
City		State								
Country		PIN								
Telephone No.		Fax No.								
E-mail ID										
Relationship with BO (if any)										
Date of Birth (Mandatory if nominee is a minor)										

As the nominee is a minor as on date, to receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders, I/We appoint following person to act as **Guardian** :




Full Name of Guardian of Nominee							
Address							
City		State					
Country		PIN					
Telephone No.		Fax No.					
E-mail ID							
Relationship of Guardian with Nominee							

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

Note : Two witnesses shall attest signature(s) / thumb impression(s).

Details of the Witness		
	First Witness	Second Witness
Name of Witness		
Address of Witness		
Signature of Witness		

I/We have read the terms & conditions DP-BO agreement and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First / Sole Holder of Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			

(Signatures should be preferably in black ink)





RAGHUNANDAN Capital Pvt. Ltd.

SEBI REGN. NO. : IN-DP-CDSL-607-2011 • DP ID 12069700

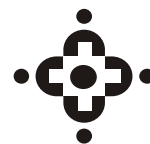
Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior - 474009 (M.P.)

Corp. Office : 26/257B, Sultanganj, Near Ashish Palace, Agra - 282004 (U.P.)

Ph.: 0562-4039217, 4039219 Fax : 0562-2526550

E-mail : askus@rmoneyindia.com

MANDATORY



ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT (FOR NON-INDIVIDUAL)

(For entities other than Individuals)

(To be filled by the Depository Participant)

Application No.											Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																			
DP ID	1	2	0	6	9	7	0	0	Client ID										

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a demat account in my/our name as per following details :

HOLDERS DETAILS

Sole/First Holder's Name											PAN								
Second Holder's Name											PAN								
Third Holder's Name											PAN								
Search Name																			

Name* _____

* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be made applicable.

TYPE OF ACCOUNT (Please tick whichever is applicable)

Status										Sub-Status (To be filled by the DP)								
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify) _____																		
SEBI Registration No. (if applicable)										SEBI Registration Date	D	D	M	M	Y	Y	Y	Y
RBI Registration No. (if applicable)										RBI Approval Date	D	D	M	M	Y	Y	Y	Y
ROC Registration No. (if applicable)										ROC Registration Date	D	D	M	M	Y	Y	Y	Y
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____																	

I/We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be 'Yes')	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No	
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
I/We request you to send Electronic Transaction-cum-Holding Statement at the email Id _____	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Do you wish to receive dividend/interest directly in to your bank account given below through ECS? (If not marked, the default option would be 'Yes')	<input type="checkbox"/> Yes <input type="checkbox"/> No
--	--

CLEARING MEMBER DETAILS (To be filled by CMs only)

Name of Stock Exchange			
Name of CC / CH			
Clearing Member ID		Trading Member ID	
Do you wish to receive dividend/interest directly in to your bank account given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]		<input type="checkbox"/> Yes <input type="checkbox"/> No	




BANK DETAILS (Dividend Bank Details)

Bank Code (9 digit MICR Code)									
IFS Code (11 Character)									
Account Number									
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify)_____								
Bank Name									
Branch Name									
Bank Branch Address									
City		State		Country		PIN			

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque books is issued, (or)
 (ii) Photocopy of the Bank Statement having name and address of the BO.
 (iii) Photocopy of the Passbook having name and address of the BO, (or)
 (iv) Letter from the Bank.
 ➤ In case of option (ii), (iii) and (iv) above, MICR Code of the branch should be present/mentioned on the document.

SMS Alert Facility Refer to Terms & Conditions given as Annexure 2.4	MOBILE No.: +91-..... [Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	<input type="checkbox"/> Yes <input type="checkbox"/> No
Easi	To register for easi , please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	<input type="checkbox"/> Yes <input type="checkbox"/> No

I/We have read the terms & conditions DP-BO agreement and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First / Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature			

(Signatures should be preferably in black ink)

(In case of more authorised signatories, please add annexure)

AGREEMENT BETWEEN PARTICIPANT AND A PERSON SEEKING TO OPEN A BENEFICIAL OWNER'S ACCOUNT

AGREEMENT BETWEEN THE DEPOSITORY PARTICIPANT, **Raghu****nandan Capital Pvt. Ltd.** [entity registered as Depository Participant of Central Depository Services (India) Limited ("CDSL") with Securities and Exchange Board of India (SEBI) under SEBI (Depositories & Participants) Regulation, 1996] and the BO (a person seeking to open a depository account with the depository participant) for the purpose of holding and transacting in electronic warehouse receipts.

This agreement made and entered into this.....day of.....between M/s. **Raghu****nandan Capital Pvt. Ltd.** situated at **Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009** and Corporate Office at **26/257B, Near Ashish Palace, Sultan Ganj, Agra-282004** (hereinafter called the "Depository Participant" or "DP") and

situated at _____

_____ (hereinafter called the "BO").

Witnesse

WHEREAS the Depository Participant is registered as a participant in the Central Depository Services (India) Limited. ("CDSL"), a duly registered depository under the Depositories Act, 1996.

WHEREAS the BO has furnished to the Depository Participant the duly filled in application form as prescribed by CDSL requesting therein the Depository Participant to open an account with the Depository Participant; and Depository Participant has represented to the BO that it has set up a facility to extend depository services offered by CDSL to warehouse receipts.

NOW THEREFORE in consideration of the Depository Participant having agreed to open an account for the Client, both the parties to the Agreement hereby covenant and agree as follows:

- 1) The BO shall pay such charges to the Depository Participant for the purpose of opening and maintaining his account, for carrying out the instructions of the BO and for rendering such other services as may be agreed to from time to time between the Depository Participant and the BO as set out in Schedule A. The Depository Participant shall reserve the right to revise the charges by giving not less than thirty days notice in writing to the BO. Depository Participant shall not levy account closure charges if BO chooses to close the account.

The Depository Participant hereby undertakes that it shall maintain a separate account of its own warehouse receipts, if any, held in dematerialised form and shall not co-mingle the same with the warehouse receipts held in dematerialised form by the BO.

- 3) The Depository Participant undertakes that a transfer to and from the accounts of the BO shall be made only on the basis of a written order, instruction, direction or mandate duly authorised by the BO and that the Depository Participant shall maintain adequate audit trail of such authorization.

- 4) The Depository Participant agrees that the BO may give written standing instructions with regard to the debiting or crediting of electronic warehouse receipts in its account and the Depository Participant shall act according to such instructions.

- 5) The Depository Participant undertakes to provide a transaction statement to the BO atleast at monthly intervals unless the Depository Participant and the BO have agreed in writing for provision of such statements at shorter intervals. However, if there is no transaction in the account, then the Depository Participant shall provide such statement to the BO atleast once a quarter.

- 6) The Depository Participant undertakes to resolve all legitimate grievances of the BO against the Depository Participant within a period of thirty days.

- 7) The BO agrees to operate this beneficial owner account for the sole purpose of holding and transacting in electronic warehouse receipts and shall be solely responsible for costs and consequences of receiving credit of any other securities into this account in the event of such credit being made owing to instructions issued by the client. The DP may levy special charges to transfer such securities out of this account, in addition to the charges listed in Schedule 'A'. However, if the BO gets any erroneous credit of securities / WRs in this account, he will assist the DP in restoring the securities into the account from which the securities were received in the clients account at no cost to the client.

3rd Holder

2nd Holder

1st Holder

38

1st Holder

39

2nd Holder

40




3rd Holder



- 8) The BO may seek delivery of the commodity represented by electronic warehouse receipt from the warehouse that has issued the electronic warehouse receipt. The BO acknowledges that neither the Depository Participant nor CDSL shall be responsible for delivery of the commodities against the electronic warehouse receipts, whether on grounds of quantity, quality, timeliness of delivery or otherwise. The BO hereby indemnifies and agrees to keep indemnified and hold the Depository Participant and CDSL harmless from and against any loss, claim, damage, injury or other cost and expense relating to delivery of the commodity underlying the warehouse receipt.
- 9) The charges related to the warehousing service shall be settled in accordance with the arrangement agreed to by the Client, Depository Participant and warehouse without any recourse to CDSL.
- 10) On the failure of the BO to pay the charges for provision of services by the DP as laid out in clause (1) of this Agreement within a period of fifteen days from the date of demand, Depository Participant may terminate this Agreement and close the account of the BO by requiring it to specify whether the balances in its account be transferred to the account of the BO held with another Depository Participant or send a delivery advice to related warehouse.
- 11) The BO further agrees that in the event of the BO committing a default in the payment of any of the amounts due and owing to the DP in terms of this Agreement within a period of fifteen days from the date of demand, without prejudice to the right of the Depository Participant to close the account of the Client, the Depository Participant may charge interest at a rate not exceeding 18%. In case the BO has failed to make the payment of any such amount, the Depository Participant shall have the right to discontinue the Depository services till such time he makes the payment along with interest, if any, after giving two days notice to the Client. If the BO does not make the payment for more than two months, Depository Participant may sell the commodities represented by the warehouse receipts to recover the amount due to it after giving 7 days notice to the Client. The DP shall always be deemed to have had a first charge and lien over the warehouse receipts in the account of the BO towards recovery of amounts due under this Agreement.
- 12) The Depository Participant shall have the right to terminate this Agreement, for any reasons whatsoever, provided the Depository Participant has given a notice in writing of not less than thirty days to the Client. In such an event, the BO shall specify whether the balances in its account should be transferred to another account of the BO held with another Depository Participant or it will seek delivery of commodities against the electronic warehouse receipts held. Based on the instructions of the Client, the Depository Participant shall initiate the procedure for transferring such electronic warehouse receipts or send a delivery advice against electronic warehouse receipts within a period of three days. The BO shall have the right to terminate this Agreement and close his account held with the Depository Participant, provided no charges are payable by him to the Depository Participant. Provided further, termination of this Agreement shall not affect the rights, liabilities and obligations of either party accruing prior to termination and shall continue to bind the parties to their satisfactory completion.
- 13) In the event of Depository Participant being suspended or terminated by CDSL/SEBI in terms of Bye Laws/Operating Instructions of CDSL or SEBI [Depositories & Participants] Regulations, 1996, Depository Participant / CDSL may give a notice of not less than 30 days of such suspension/termination to the Client. In such an event, the BO shall specify whether the balances in its account should be transferred to another account of the BO held with another Depository Participant or if it will seek delivery of commodities against the electronic warehouse receipts held. Based on the instructions of the Client, the Depository Participant shall initiate the procedure for transferring such electronic warehouse receipts or send a delivery advice against electronic warehouse receipts within a period of three days.
- 14) The BO shall have the right to create a pledge of the electronic warehouse receipts held in the dematerialised form. The BO may exercise the right to freeze his account maintained with the Depository Participant so as to lock the electronic warehouse receipts held with the Depository Participant. The BO may exercise the right to un-freeze his account maintained with the Depository Participant. Such freezing and un-freezing of the account shall be in accordance with the procedure prescribed in this regard by CDSL.
- 15) The BO shall notify the Depository Participant within seven days, of any change in the details set out in the application form submitted to the Depository Participant at the time of opening the account or furnished to the Depository Participant from time to time.

- 16) The Depository Participant shall have a right to provide such information related to the Client's account as may be requested by the CDSL from time to time.
- 17) The Depository Participant shall not be liable to the BO in any manner towards losses, liabilities and expenses arising from the claims of third parties and from taxes and other governmental charges in respect of electronic warehouse receipts credited to Client's account.
- 18) Depository Participant shall discharge all its obligations to the BO as provided by SEBI / any other regulatory authority and / or those guidelines / instructions issued by CDSL from time to time and in force at the time of entering into this Agreement and as may be amended as if such BO were a beneficial owner of securities in terms of the aforesaid laws, and shall maintain the same standard of service provided such obligations are not in contravention of the terms and conditions of this Agreement.
- 19) All claims, differences and disputes between Depository Participants and Clients arising out of or in relation to dealings on the CDSL Depository including any agreements, contracts and transactions made subject to this Agreement or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions, agreements and contracts have been entered into or not, shall be referred to arbitration in accordance to and subject to the provisions of the Arbitration and Conciliation Act, 1996. The arbitration mechanism prescribed under the CDSL Bye-Laws, Operating Instructions for disputes between DP and clients in securities transactions shall be applicable to disputes arising out of and in connection with this Agreement, as if the same have been incorporated hereinbelow and formed part of this Agreement.

IN WITNESS WHEREOF the BO and the Depository Participant has caused these presents to be executed as of the day and year first above written.

Signed and delivered by Client**
Sole/First Holder Signature 
Second Holder Signature 
Third Holder Signature 
Signed and delivered by Participant
For Raghunandan Capital Pvt. Ltd.
Authorised Signatory

Witness	
Signature	<div></div>
Name :
Address :

Witness	
Signature	<div></div>
Name :
Address :

Place : Gurgaon

Date : _____ Day of _____ 20____

*** Please Stamp & Sign in case of HUF account.**
****In Case Of Joint Holding, All Joint Holders Must Sign.**

RAGHUNANDAN CAPITAL PVT. LTD.

(Depository Participant - CDSL) DPID : 12069700, DP SEBI Regn. No. IN-DP-CDSL-607-2011

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office : 26/257B, Near Ashish Palace, Sultan Ganj, Agra-282004

Terms & Conditions-Cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions :

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise.

Fees, Charges and deposits

- "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Tower, Dalal Street, Fort, Mumbai-400001 and all its branch offices and includes its successors and assigns.
- 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
- 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
- SMS means "Short Messaging Service"
- 'Alerts' means a customized SMS sent to the BO over the said mobile phone number.
- 'Service Provider' means a cellular service provider(s) with whom the depository has entered/will be entering into an arrangement for providing the SMS alerts to the BO.
- 'Service' means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability :

- The service will be provided to the BO at his/her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The service may be discontinued for a specific period/indefinite period with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
 - The service is currently available to the BOs who are residing in India.
 - The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
 - In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
 - The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository.
- In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts :

- The depository shall send the alerts to the mobile phone number provided by the BO while registering for service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
- The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
- The BO also acknowledges that the readability, accuracy and timeliness of providing the services depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purpose of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/we further undertake to pay fee/charges as may be levied by the depository from time to time.

I/We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

DP ID	1	2	0	6	9	7	0	0	BO Id	0	0								
-------	---	---	---	---	---	---	---	---	-------	---	---	--	--	--	--	--	--	--	--

Sole/First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile No. on which messages are to be sent

+	9	1																	
---	---	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

The Mobile Number is registered in the name of : _____

E-mail Id : _____

(Please write only ONE valid email Id on which communication; if any, is to be sent)

Place : Gurgaon



Signature of Sole/First Holder



Signature of Second Holder



Signature of Third Holder

IN CASE OF JOINT HOLDING, ALL JOINT HOLDERS MUST SIGN.

Date : ____/____/20____

***Please do not use correction fluid, all cuttings must be attested by all the joint holder(s).**



RAGHUNANDAN Capital Pvt. Ltd.

(Depository Participant - CDSL) DPID : 12069700, DP SEBI Regn. No. IN-DP-CDSL-607-2011

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office : 26/257B, Near Ashish Palace, Sultan Ganj, Agra-282004

Electronic Access to Securities Information (easi) Registration Form - Beneficial Owner (BO)

Name of the Beneficial Owner(s)										
1.										
2.										
3.										
Beneficial Owner ID	1	2	0	6	9	7	0	0		
Login ID										
DP Name	RAGHUNANDAN CAPITAL PVT. LTD.									
DP ID	12069700									
DP Address	26/257B, Near Ashish Palace, Sultan Ganj, Agra-282004									
Email Address of the BO										
Tel. No.										
Mobile No.										
I/We would like to register above mentioned account for the easi service. I/We am/are aware the easi service is available to me/us which only enables me/us to view the security balances lying in the said account. I/We hereby agree to the terms and conditions we have read earlier for availing the said services.										
Date ____/____/____ Place ____										
Signature _____										
  										
First Holder Signature			Second Holder Signature				Third Holder Signature			
This is to certify that (To be filled up by the DP) 1. _____ 2. _____ 3. _____ are maintaining BO A/c No. _____ with us. We have verified the signatures of the said account holders and they match with the specimen signatures as per our records. Date ____/____/____ Place ____ Signature _____ (Authorised Signatory & Stamp of DP)										

Part-A

- Application** : The application for availing of the **easi** service and registration thereof shall be made in physical form (i.e., by a hard copy). The acceptance or acknowledgment of receipt of the application by CDSL does not automatically imply acceptance of the application for availing **easi** service. CDSL shall be entitled at its sole discretion to either accept or reject an application. CDSL will from time to time advise about the internet Software (such as Browser), required for using **easi**. There will be no obligation on CDSL to support all versions of the Internet Software.
- Registration procedure** :
 - In order to get registered to **easi** a BO shall provide certain information like BOID, login ID, Email address, Tel. Nos. etc. at **easi**.
 - The Login ID as entered would be used by BO for accessing **easi**. The login ID would be accepted if the same is not already registered with **easi**.
 - After filling up the necessary details at **easi**, BO shall print and sign the Registration Form. The Registration Form should be compulsory Signed by all the account holders, in case of joint accounts.
 - The BO shall submit the Registration Form to Depository Participant (DP).
 - If details and signatures on the Registration Form are found in order, the login ID, the password would be mailed to the Email ID of the BO as mentioned in the BO Registration Form. For the purpose of security it is advised that BO should provide a exclusive Email ID which is accessed by him only. CDSL shall not be responsible for leakage of password in case the Email ID is accessed by person other than the BO.
 - On receiving password a BO can avail **easi** service by accessing the internet site <http://www.cdslindia.com>.
 - A BO is required to enter the login ID and Password.
 - BO is requested to take following measure in order to make **easi** more secure and safe.
 - Change the password immediately after first login.
 - Do not use common/dictionary words for password.
 - Password should be minimum 8 digits containing alphanumeric characters.
 - Keep your password confidential, never reveal/share the same with anyone.
 - Do not write your password anywhere.
 - While entering the password for securities for accessing **easi** make sure that no one can see the same.

- Before moving to the other website logout from **easi**.
 - After accessing the **easi** immediately delete all files in the folder "C:\Windows\Temporary Internet Files"
 - BOs are advised to access **easi** from the own PC, as third party PCs may contain software to reveal password.
 - Change your password at regular intervals.
- k) If a BO forget his/her password for **easi**, it can request for a change in the password by following the 'Forgot your Password procedure'. The existing contract would be valid after the Replacement/change of password.

Part-B

Terms and Conditions

- Facilities through **easi**** (Electronic Access to Securities Information)
easi provides a BO a facility to enquire about the balances in their Demat Account details about transactions and other services, which CDSL may decide to provide from time to time in its absolute discretion. The availability / non-availability of a particular service shall be advised either through email, website of CDSL or written communication.
- Definition** : In this document, the following words are phrases shall have the meaning set opposite them unless the context indicates otherwise :
 - CDSL** : means Central Depository Services (India) Limited, a company incorporated under the Companies Act, 1956 and registered under the Depositories Act 1996 with Securities and Exchange Board of India.
 - Beneficial Owner** : Means an individual / corporate/HUF etc. who has opened a Demat account with a Depository Participant of CDSL
 - easi** (Electronic Access to Securities Information) : refers to the trade name of CDSL's Internet Services which enables a BO to enquire about the balances in his/her Demat Account details about transactions and other services which CDSL may decide to provide from time to time in its absolute discretion.
 - Internet** : refers to a Global network of Inter connected Computes Network, each using transmission control protocol/ internet protocol or any combination thereof or such other standard network inter connected protocols as is used to transmit data that is directly or indirectly delivered to a Computer.
 - Subscriber** : means a BO indemnified and duly registered as a subscriber to the **easi** service.
 - Personal Information** : refers to the information about the Demat Account that is stored on the records of CDSL and may be retrieved in perceivable from.
 - Terms used but not defined herein shall have the meaning assigned to them in the CDSL Byelaws.
- Mailing Address** : All correspondence / delivery by CDSL shall only be made at the address and / or e-mail address as registered with CDSL.
- Liability** : CDSL shall not be liable to BO for any transactions occurring through the use of **easi** service and the BO hereby indemnifies and keeps indemnified CDSL against any action, suit, proceeding initiated against it or any loss, cost or damage incurred by it as a result thereof. CDSL shall under no circumstance shall be liable to the BO if the access is not available in the desired manner for reasons including but not limited to natural calamities, legal restraints, faults in the telecommunication network or network failure or any other reason beyond the control of CDSL. Under no circumstance shall CDSL be liable for damages whatsoever whether such damages are direct, indirect incidental consequential and irrespective whether any claim is based on loss of revenue, interruption of business, or any loss of any nature and whether sustained by the BO or any other person, illegal or improper use of the **easi** service shall render the BO liable for payment of pecuniary charges (fine) as decided by CDSL and will result in suspension/termination of the access to the **easi** service.
- Disclosure of Personal Information** : The BO agrees that CDSL or its agents may hold and process its Personal Information on computer or otherwise in connection with **easi** as well as for statistical analysis. The BO also agrees the CDSL may disclose, in strict confidence, to other institutions, such Personal Information as may be reasonably necessary for reasons inclusive of but not limited to the following :
 - To the DP where the BO is having his/her demat account.
 - For participation in any telecommunication network.
 - In compliance with a legal directive &
 - For fraud prevention purposes, etc.
- Proprietary Rights** : The BO acknowledges that the software underlying **easi** as well as other internet related software required for accessing **easi** is the sole copyright of the respective vendors. The permission given by CDSL to access **easi** will not convey any proprietary or ownership rights in the above software. The BO shall not attempt to modify, translate, disassemble, decompile or reverse engineer the software underlying **easi** or create any derivative product based on such software.
- Change of Terms and Conditions** : CDSL has the absolute discretion to amend, alter, vary or supplement any of the terms and conditions at any time and will endeavor to give prior notice of fifteen days wherever feasible for such changes. CDSL may introduce new services within **easi** from time to time. The existence and availability of the new service will be notified to the BO as and when they are made available. The changed terms and conditions applicable to the new features in **easi** service shall be communicated to the BO. By using these new services, the BO agrees to be bound by the revised terms and conditions applicable.
- Non-Transferability** : The right of avail of **easi** to a BO is not transferable under any circumstance and shall be availed by the registered BO only.
- Termination of **easi** Service** : The BO may request for termination of the **easi** service any time by giving a written notice of at least 15 days to CDSL. CDSL may withdraw the **easi** service anytime provided the BO is given reasonable notice under the circumstances. The closure of the BO Pool Accounts of the BO will automatically terminate the **easi** service. CDSL may suspend or terminate **easi** service without prior notice if the BO has breached any of the terms and conditions or CDSL learns of the death, bankruptcy or lack of legal capacity of the BO.
- Notices** : CDSL and the BO may give notices in the following manner under these Terms and Conditions :
 - In writing by delivering them by hand or by sending them by post to the last address given by the BO and in the case of CDSL to the address mentioned below :
Central Depository Services (India) Ltd. (CDSL)
17th Flor, Phiroze Jeejeebhoy Towers, Dalal Street, Mumbai - 400 001.
 - In addition, CDSL may also publish notices of general nature, which are applicable to all BO using **easi** on its website. Such notices will have the same effect as if the notice was served individually to each BO.
- Governing Law** : These terms and conditions and / or the use of the services provided through **easi** shall be governed by the laws of the Republic of India. The BO and CDSL agree to submit themselves to the exclusive jurisdiction of the Courts located in Mumbai, India as regards any claims or matters arising under these terms and conditions. Any dispute or difference arising between the BO and CDSL shall be settled by mutual consultation / discussion, failing which the same shall be referred to Arbitration. The Arbitration proceedings shall be governed and conducted in accordance with the Indian Arbitration and Conciliation Act, 1996 and that the Arbitration proceedings shall take place in Mumbai. CDSL accepts no liability whatsoever, direct or indirect, for non-compliance with the laws of any country other than the Republic of India. The mere fact that **easi** service can be accessed through internet by a BO in a country other than India shall not be interpreted to imply that the laws of the said country govern these terms and conditions.
- General** : The clause headings in this agreement are only for convenience and do not affect the meaning of the general clause. The BO shall not assign this agreement to anybody else. CDSL may subcontract and employ agents to carry out any of its obligations under this agreement.
- Disclaimer** : All information provided in **easi** is obtained by CDSL from sources believed by CDSL to be accurate and reliable. Because of the possibility of human and technical errors as well as other factors, CDSL is not responsible for any errors or omissions. The development of the products and services of CDSL is a continuous process and published information may not be up to date. The formats, update frequency and retention period of the information will be decided at the sole discretion of CDSL. It is important to check the current position with concerned Depository Participant. All information is provided on 'as is' basis without warranty of any kind. CDSL makes no representation and disclaim all express, implied and statutory warranties of any kind of the BO and/or any third party including warranties as to accuracy, timeliness, completeness, merchantability or fitness of the information for any particular purpose. All proprietary rights in the information received shall remain the property of CDSL. Reproduction, redistribution and transmission of any information contained on the web site is strictly prohibited. Access to this web site is in confirmation the BO has understood and accepted these terms and conditions. This service does not in any manner whatsoever undermine, compromise or substitute this provisions of the agreement entered into by the BO with its Depository Participant.

(To be executed on a non-judicial stamp paper of Rs. 100/-)

POA FOR PAY-IN OF SECURITIES FOR THE PURPOSE OF SETTLEMENT

TO ALL TO WHOM THESE PRESENTS SHALL COME I/WE _____
(name of the BO), India, Indian inhabitant SEND GREETINGS.

Whereas I hold a Beneficiary account no. _____ (BO-ID) with Central Depository Services (India) Limited, through Raghunandan Capital Pvt Ltd. bearing DP-ID I 2069700 (DP SEBI Registration No. IN-DP-CDSL- 607- 2011)

And whereas I am an investor engaged in buying and selling of Commodities through Raghunandan Industries Pvt. Ltd. a member of NSEL bearing Membership Code : I0440.

And whereas due to exigency and paucity of time, I am desirous of appointing an agent/attorney to operate the aforesaid beneficiary account on my behalf for a limited purpose in the hereinafter appearing:

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I THE ABOVE NAMED DO HEREBY NOMINATE, CONSTITUTE/ AND APPOINT Raghunandan Industries Pvt. Ltd. as my true and lawful attorney (hereinafter referred to as the attorney) for me and on my behalf and in my name to do instruct the aforesaid Depository Participant to debit Commodities and/or to transfer Commodities from the aforesaid account for the purpose of delivering the same to the clearing house of the recognized spot exchange towards any segment in respect of commodities sold by me through them.

- I. This authority is restricted to the settlement / margin obligations arising out of the transactions effected by me through Raghunandan Industries Pvt. Ltd. and I ratify the instructions given by the aforesaid clearing member to the Depository Participant to transfer Commodities held in my/our aforementioned beneficial owner account(s) or any other account informed by me in writing to the Commodities broker from time to time to the following demat account nos :-

Sl. No.	CDSL ACCOUNT DETAIL		NSDL POOL ACCOUNT DETAILS	
	DP ID	Client ID	DP ID	Client ID
1.	I2069700	00001839 (NSEL Pool A/C)	IN300966	I0568366 (Pool A/C)
2.	I2069700	00001843 (Beneficiary A/C)		

Of the Commodities broker maintained for the purpose of settlement of trades and margin obligations arising out of trades executed by me/us on any recognized spot exchange through the Commodities broker.

2. To issue instructions to the said Depository Participant to transfer and or pledge the Commodities in my/our above mentioned BO account(s) for the limited purpose of meeting my/our margin requirements in connection with the trade executed by me/us on the relevant exchanges through Raghunandan Industries Pvt. Ltd.



Signature of Sole/First Holder



Signature of Second Holder



Signature of Third Holder

3rd Holder

2nd Holder

1st Holder



3. To send the client consolidated summary of client's commodities wise buy & sell positions taken with average rates by way of SMS/E-mail on daily basis.
4. I/We agree that Raghunandan Capital Pvt. Ltd. would return to me/us the Commodities that may have been received by it erroneously or those Commodities that it was not entitled to receive from me/us.

I further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until I have given to the Depository Participant, notice in writing to the contrary and the said revocation shall be effective from the date and time of receipt of said notice at the corporate office 26/257 B, Sultanganj, Near Ashish Palace, Agra (U.P.) of depository participants.

SIGNED AND DELIVERED by



Signature of Sole/First Holder



Signature of Second Holder



Signature of Third Holder

IN THE PRESENCE OF

Client ID: Client Code: Mobile No:

Signature of Co-parceners in case of HUF Account			
S.No.	Name of Co-parceners	Date of Birth	Signature of Co-parceners

WITNESSES :

1. Signature :

Name:

Address:

2. Signature:

Name:

Address:

We accept the above the Power Attorney
For and behalf of

CONSENT / AUTHORITY LETTER

To,

Date_____

Raghunandan Industries Pvt. Ltd.

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009




Corp. Office : 26/257B, Near Ashish Palace, Sultan Ganj, Agra-282004

Subject : Consent / Authority Letter

Dear Sir,

I/We, hereby authorize and give the consent to debit the depository and warehouse charges of my/our depository accounts (CDSL) being maintained with Raghunandan Capital Pvt. Ltd. from out trading account being maintained with Raghunandan Industries (P) Ltd. and make payment to Raghunandan Capital Pvt. Ltd.

The details are as follows.

	Name of Demat Account Holders		Signature
Demat Client ID	Name of Ist Holder		
	Name of IInd Holder		
	Name of IIIrd Holder		
Trading Client Code		Trading Client Name	

Thanking You

Yours Faithfully,

✓_____

Sole and First Holder Name & Signatur

RAGHUNANDAN Capital Pvt. Ltd.**DEPOSITORY DIVISION****ELECTRONIC CLEARING SERVICE (DEBIT CLEARING) MANDATE FORM**

1. D.P. A/c. No. :

1	2	0	6	9	7	0	0								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--
2. Name (1st holder) :
- (2nd holder) :
- (3rd holder) :
3. Bank Name :
- A) Branch Name :
- B) 9-Digit MICR Code * :

--	--	--	--	--	--	--	--	--
- C) Account Type ☐ S.B.A/c (Code 10) ☐ Current A/c (Code 11)
- ☐ Cash Credit (Code 13)
- D) Ledger No./ Folio No. Account No.

* Appearing on the MICR Cheque issued by the Bank (Please attach the Photocopy of a Cheque or a blank cancelled issued by your bank for verifying the accuracy of the Code Number)

I, hereby, declare that the particulars given are correct and complete. If the transaction is delayed or not hold the user responsible. I hereby agree to discharge the responsibility expected of me as a participant under the scheme.



Date : Signature of the All applicant (s)

BANK CERTIFICATION (Not required if photocopy of the cheque is enclosed).

Certified that the particulars furnished above are correct as per our records.

Bank's Stamp :

Date : Signature of the authorised bank official

AUTHORISATION TO BANK FOR DEBITING THE ACCOUNT

The Branch Manager

.....

.....

Dear Sir,

I/We residing at

maintain a Account No. with your branch.

I/We hereby authorise the Bank to debit all types of commission / fees (Service Charges) payable by me / us and charged by RAGHUNANDAN CAPITAL PVT. LTD. Through the ECS (Debit clearing) facility to my bank account with you. I/We undertake the sufficient balances shall be maintained by me/us, so that the right of the Bank to debit the Service Charges is not impaired. I/We hereby undertake not to revoke this authority without the written approval from the Bank.

SIGNED at (place), this (day),

of (month), (Year)

Signature Name

Signature Name

Signature Name

(A/c holder's Signature should be the same as in bank A/c. In case of joint account both the holder must sign the mandate form)

RAGHUNANDAN Capital Pvt. Ltd.**DEPOSITORY DIVISION****ELECTRONIC CLEARING SERVICE (DEBIT CLEARING) MANDATE FORM**

1. D.P. A/c. No. :

1	2	0	6	9	7	0	0								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--
2. Name (1st holder) :
- (2nd holder) :
- (3rd holder) :
3. Bank Name :
- A) Branch Name :
- B) 9-Digit MICR Code * :

--	--	--	--	--	--	--	--	--
- C) Account Type ☐ S.B.A/c (Code 10) ☐ Current A/c (Code 11)
- ☐ Cash Credit (Code 13)
- D) Ledger No./ Folio No. Account No.

* Appearing on the MICR Cheque issued by the Bank (Please attach the Photocopy of a Cheque or a blank cancelled issued by your bank for verifying the accuracy of the Code Number)

I, hereby, declare that the particulars given are correct and complete. If the transaction is delayed or not hold the user responsible. I hereby agree to discharge the responsibility expected of me as a participant under the scheme.



Date : Signature of the All applicant (s)

BANK CERTIFICATION (Not required if photocopy of the cheque is enclosed).

Certified that the particulars furnished above are correct as per our records.

Bank's Stamp :

Date : Signature of the authorised bank official

AUTHORISATION TO BANK FOR DEBITING THE ACCOUNT

The Branch Manager

.....

.....

Dear Sir,

I/We residing at

maintain a Account No. with your branch.

I/We hereby authorise the Bank to debit all types of commission / fees (Service Charges) payable by me / us and charged by RAGHUNANDAN CAPITAL PVT. LTD. Through the ECS (Debit clearing) facility to my bank account with you. I/We undertake the sufficient balances shall be maintained by me/us, so that the right of the Bank to debit the Service Charges is not impaired. I/We hereby undertake not to revoke this authority without the written approval from the Bank.

SIGNED at (place), this (day),

of (month), (Year)

Signature Name

Signature Name

Signature Name

(A/c holder's Signature should be the same as in bank A/c. In case of joint account both the holder must sign the mandate form)



RAGHUNANDAN Capital Pvt. Ltd.

(Depository Participant - CDSL) DPID : 12069700, DP SEBI Regn. No. IN-DP-CDSL-607-2011

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office : 26/257B, Near Ashish Palace, Sultan Ganj, Agra-282004

Schedule for DP Service charges for normal Demat A/c of National Spot Exchange w.e.f. 1st Oct. 2012

SCHEDULE - A

S.No.	SCHEME for National Spot Exchange (E Series)	SCHEME - A For Individual (Rs. 2499/- in advance out of which Rs. 2000 is refundable/adjusted on closure of A/c and/or change of scheme after one year from the date of a/c opening)	SCHEME - B	SCHEME -C-LF Rs. 599/- (Non Refundable (for Life Time)	SCHEME - D
1.	Account Opening Charges	NIL	NIL	NIL	NIL
2.	Account Maintenance Charges	NIL	Rs. 299/- per annum	NIL	Rs. 899/- p.a.
3.	Dematerialisation Charges	Rs. 20/- Per DRF plus Rs. 3/- per Certificate	Rs. 20/- Per DRF plus Rs. 3/- per Certificate	Rs. 20/- Per DRF plus Rs. 3/- per Certificate	Rs. 20/- Per DRF plus Rs. 3/- per Certificate
4.	Rematerialisation Charges	Rs. 20/- per every 100 securities or part thereof, or a flat fee of Rs. 20/- per certificate whichever is higher will be payable.	Rs. 20/- per every 100 securities or part thereof, or a flat fee of Rs. 20/- per certificate whichever is higher will be payable.	Rs. 20/- per every 100 securities or part thereof, or a flat fee of Rs. 20/- per certificate whichever is higher will be payable.	Rs. 20/- per every 100 securities or part thereof, or a flat fee of Rs. 20/- per certificate whichever is higher will be payable.
5.	Custody	NIL	NIL	NIL	NIL
6.	Intra DP charges per Instruction	Rs. 10/-	Rs. 12/-	Rs. 10/-	Free of Cost
7.	Inter DP charges per Instruction	Rs. 15/- or .02% of the transaction value whichever is higher	Rs. 20/- or .02% of the transaction value whichever is higher	Rs. 18/- or .02% of the transaction value whichever is higher	Rs. 15/- or .02% of the transaction value whichever is higher
8.	Pledge charges (per Transaction) Creation Invocation / Closure	Rs. 20/-	Rs. 25/-	Rs. 25/-	Rs. 25/-
9.	Lending / Borrowing Charges Borrowing Lending Repay	Rs. 20/-	Rs. 25/-	Rs. 25/-	Rs. 25/-
10.	easiest & easy Subscribers (Password User)	Rs. 100/- p.a.	Rs. 100/- p.a.	Rs. 100/- p.a.	Rs. 100/- p.a.
11.	Surrender Request (SRF)	Rs. 100/- per request	Rs. 100/- per request	Rs. 100/- per request	Rs. 100/- per request

In addition to the above the following out of pocket expenses shall also be charged.

1. Instruction Booklet : Rs. 20/- Containing 5 Leaves.
2. Failed Instruction Intimation : Rs. 20/- per intimation per instruction.
3. Additional Statement of Holding/Transaction : Rs. 2/- per Page + Postage
4. Non periodic statement & other communications shall be charged @ Rs. 20/- per mail.
5. Charges are subject to revision at Depository Participant's sole discretion by giving 30 days notice and shall be informed by circulars sent by ordinary post/press advertisement/Electronic Communication/courier/personal messenger/Website (Website means www.moneyindia.com) and/or its pages and links and/or any other website(s)/links/pages/applets Participant may inform from time to time.
6. In case of demat rejection postage shall be charged @ Rs. 30/- for dispatch to the client for removal of objection.
7. Any other services not specified above shall be charged extra.
8. Service Tax will be charged extra as per regulation.
9. Any Modification in client master will be charged @ Rs. 20/- per modification.
10. All the charges are payable on monthly basis under scheme A and under all other schemes all charges are payable upfront.
11. Raghunandan Capital Pvt. Ltd. may suspend/freeze the depository services of the account holder on non payment of outstanding bill till the outstanding DP service Charges is received.
12. For Corporate A/c's additional Rs.500/- will be charged p.a. towards CDSL AMC in all the scheme.
13. Storage and any other incidental charges levied on us for E - Gold/ E Silver would be recovered on actual basis plus service charges @ 0.40 paisa per unit of E-Gold p.m. and .01 paisa per unit of E-Silver p.m.
14. Warehouse, Registrar and any other incidental charges levied on us for any Other Commodities would be recovered on actual basis plus service charges @ 2 % of the value of commodity subject to Minimum of Rs. 50/- Per ICIN per month.

Note : Rs. 100/- POA stamp paper charges are included with upfront charges in all schemes.

Scheme Opted : ☐ Scheme - A ☐ Scheme - B ☐ Scheme - C-LF ☐ Scheme - D

51

Signature of Sole/First Holder

52

Signature of Second Holder

53

Signature of Third Holder

DECLARATION BY SALES PERSON / AUTHORISED PERSON

To,

Dated : _____

Raghunandan Capital Pvt. Ltd.

Raghunandan Industries (P) Ltd.

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior - 474009

Corp. Office : 26/257 B, Near Ashish Palace, Sultan Ganj, Agra - 282004

Dear Sir,

This is in reference to the trading & Demat account under consideration in the name of.....
R/o.....

I declare that I have met the above captioned person personally & have verified copy of under mentioned KYC with original, which is enclosed with account opening form & I also certify that client has signed and executed the form, stamp papers with enclosures in my presence.

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

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

Date of verification of documents :

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

Name of the person :

Signature :

Employee / Authorised person



RAGHUNANDAN Capital Pvt. Ltd.

(Depository Participant - CDSL) DPID : 12069700, DP SEBI Regn. No. IN-DP-CDSL-607-2011

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office : 26/257B, Near Ashish Palace, Sultan Ganj, Agra-282004

DP ID	1	2	0	6	9	7	0	0	Client Id								
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

	First Holder	Second Holder	Third Holder
Name			
Specimen Signature			



RAGHUNANDAN Capital Pvt. Ltd.

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Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office : 26/257B, Near Ashish Palace, Sultan Ganj, Agra-282004

ACKNOWLEDGEMENT RECEIPT

We hereby acknowledge the receipt of the Account opening application form :-

Name of the Sole/First Holder	
Name of the Second Holder	
Name of the Third Holder	

(Depository Participant Seal and Signature)

DECLARATION BY THE CLIENT

To,

Date :

RaghuNandan Industries (P) Ltd.

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

I/We hereby acknowledge the receipt of duly executed copy of KYC, RDD, Right and Obligations, Policies and Procedures & 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.....

I/We certify the signature on the above form, stamp paper and enclosures to be my/our true and valid signature.

Client Signature



RAGHUNANDAN Capital Pvt. Ltd.

Depository Participant : CDSL • SEBI Regn. No.: IN-DP-CDSL-607-2011, DP ID : 12069700

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office : 26/257B, Near Ashish Palace, Sultan Ganj, Agra-282004

Ph.: 0562-4039999, 4039217, 4039219 Fax : 0562-2526550

E-mail : askus@rmoneyindia.com, Web : www.rmoneyindia.com

DEMAND DRAFT / PAY ORDER / CHEQUE CONFIRMATION

To,

Date : _____

Raghunandan Industries (P) Ltd.

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Subject : Demand Draft / Pay Order / Cheque No.....

Dated..... For Rs.....

Dear Sir,

I hereby confirm that the above mentioned DD/PO/Cheque is prepare/drawn from my Bank Account No.....

Cash in favour of..... Please Credit the same to my Client A/c No.

is..... Name.....

Address.....

I hereby confirm that this payment is not on account of any third party.

Thanking you,

Client Name..... Client Signature 

Client Code..... Client Address.....

Branch Code..... Phone No.....

To,

Date : _____

Raghunandan Industries (P) Ltd.

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Subject : Demand Draft / Pay Order / Cheque No.....

Dated..... For Rs.....

Dear Sir,

I hereby confirm that the above mentioned DD/PO/Cheque is prepare/drawn from my Bank Account No.....

Cash in favour of..... Please Credit the same to my Client A/c No.

is..... Name.....

Address.....

I hereby confirm that this payment is not on account of any third party.

Thanking you,

Client Name..... Client Signature 

Client Code..... Client Address.....

Branch Code..... Phone No.....



DEMAND DRAFT / PAY ORDER / CHEQUE CONFIRMATION

To,

Date : _____

Raghunandan Industries (P) Ltd.

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Subject : Demand Draft / Pay Order / Cheque No.....

Dated.....For Rs.....

Dear Sir,

I hereby confirm that the above mentioned DD/PO/Cheque is prepare/drawn from my Bank Account No.....

Cash in favour of.....Please Credit the same to my Client A/c No.

is.....Name.....

Address.....

I hereby confirm that this payment is not on account of any third party.

Thanking you,

Client Name..... Client Signature 

Client Code..... Client Address.....

Branch Code..... Phone No.....

To,

Date : _____

Raghunandan Industries (P) Ltd.

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Subject : Demand Draft / Pay Order / Cheque No.....

Dated.....For Rs.....

Dear Sir,

I hereby confirm that the above mentioned DD/PO/Cheque is prepare/drawn from my Bank Account No.....

Cash in favour of.....Please Credit the same to my Client A/c No.

is.....Name.....

Address.....

I hereby confirm that this payment is not on account of any third party.

Thanking you,

Client Name..... Client Signature 

Client Code..... Client Address.....

Branch Code..... Phone No.....



DECLARATION LETTER (INACTIVE CLIENT)

To,

Raghunandan Industries (P) Ltd.

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009

Corp. Office 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Dear Sir,

I/We _____ am/are client of your broking company

having Client Code _____ which remained inactive since _____.

Now I wish to restart trading therefore request you to kindly activate my above said Code.

Please provide Odin ID -

Yes

☐

No

☐

Thanks with Regards,

Client Sign.



Client Name

Client Address

Date _____

Encl. : Self Attested Copy of ID Proof



OUR SERVICES

RAGHUNANDAN Capital Pvt. Ltd.

Equity, Derivatives, Currency Derivatives, Depository & IPO's
(Member : NSE, BSE, MCX-SX, USEIL, DP - CDSL)

RAGHUNANDAN Insurance Brokers Pvt. Ltd.

Life & General Insurance Products (Direct Broker approved by IRDA)

RAGHUNANDAN Industries Pvt. Ltd.

Commodity, Mutual Fund Distribution
(Member : MCX, NCDEX, NSEL, NCDEX SPOT, ICEX, ACE, NMCE)

RAGHUNANDAN Capital Pvt. Ltd.

Member : NSE, BSE, MCX-SX & USE
SEBI Regn. No.: NSE - INB/INF/INE 231317638 • BSE - INB/INF 011317634
• MCX-SX - INE 261317638 • USE - INE 271317633
Depository Participant : CDSL

SEBI Regn. No.: IN-DP-CDSL-607-2011, DP ID : 12069700

RAGHUNANDAN Industries (P) Ltd.

Member : MCX, NCDEX, NMCE, ICEX, NSEL, NCDEX Spot, DP-CDSL

FMC Regn. No.:

MCX - MCX/TCM/CORP/0050	Membership No.: 16825
NCDEX - NCDEX/TCM/CORP/0295	Membership No.: 00189
NMCE - NMCE/TCM/CORP/0185	Membership No.: CL 0267
ICEX - ICEX/TCM/CORP/0120	Membership No.: 1107
ACE - ACEL/TCM/CORP/0378	Membership No.: 6176
NSEL	Membership No.: 10440
NCDEX SPOT	Membership No.: 10043

Regd. Office : Udaygiri Bhaskar Lane, Jayendra Ganj, Gwalior-474009 (M.P.)

Corp. Office : 26/257B, Near Ashish Palace, Sultan Ganj, Agra-282004 (U.P.)

Ph.: 0562-4039999, 4039217, 4039219 Fax : 0562-2526550

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