

Full Name of KYC Verifier: _____ Employee Code: _____

KYC Checklist

All Originals to Produced for physical verification. | *Copies of all documents to be self attested.

• **General**

- Colored Passport size photo & Signed across
- PAN Card
- Pan Verification
- All Copies Self Attested
- In person verification stamp on all docs (Individuals)
- Original seen and verified stamp on all docs
- Witness Signature, Address & Contact details

1. Additional Proof of Identify

- UID (Aadhaar)
- Valid Passport
- Valid Driving License
- Voter ID
- Any other Supporting doc: _____

B. Bank Proof With MICR / IFSC Code

- Pre printed Cancelled cheque
- Bank Statement
- Pass Book

1. Proof of Permanent / Correspondence address

- Ration Card
- Valid Passport
- Valid Driving License
- Voter ID
- Bank Passbook (Not more than 3 months old)
- Tel. Land Line Bill (Not more than 3 months old)
- Electricity Bill (Not more than 3 months old)
- UID (Aadhaar)
- Registered Lease or Sale Agreement
- Bank Statement (Not more than 3 months old)
- Bank Verification Letter (on Letterhead of Bank)

Any other supporting doc;

C. Demat Proof

- Client Master
- DP Statement
- Transaction cum Holding Statement
- Welcome Letter

vi. Financial Documentary Proof

- Copy of ITR Acknowledgement
- Bank account statement for last 6 months
- Net worth certificate
- Salary Slip
- Copy of Form 16 in case of salary income
- Copy of demat account Holding Statement.
- Copy of Annual Accounts
- Any other relevant documents substantiating ownership of assets.
- Self declaration along with relevant supporting

Membership Details:

Exchange	Registration No.	SEBI Registration No.
MCX	40355	INZ000016737
NCDEX	00471	INZ000016737
ICEX	2034	INZ000016737

Registered Office Address

Ganganagar Commodity Limited

424, 4th Floor, City Centre, The Mall, Kanpur-208004Email: info@gclindia.co | Website: www.gclindia.co**Correspondence Address**

Ganganagar Commodity Limited

Opp. S.D. College, Sukhadia Circle, Sri Ganganagar-

335001 Phone: +91-154-2486281

Email: info@gclindia.co | Website:www.gclindia.co**Compliance Officer Details**

Name: Atul Midha

Email ID: compliance@gclindia.co

Phone No: +91-141-2357943

CEO Details

Name: Vishal Bagadia

Email ID: ceo@gclindia.co

Phone No: +91-154-2486281

For any grievance/dispute please contact Ganganagar Commodity Limited at the above mentioned address or email complaints@gclindia.co or call 0154-2486281. In case you are not satisfied with the response, please contact the concerned exchanges, MCX at grievance@mcxindia.com or Phone No.: 022-67318888; NCDEX at askus@ncdex.com or Phone No.: 022-66406084; ICEX at grievance@icexindia.com or Phone No.: 022-40381546

CLIENT REGISTRATION FORM

BRANCH/AUTHORIZED PERSON CODE:	
BRANCH/AUTHORIZED PERSON NAME:	
INTRODUCER/CODE:	
CLIENT CODE:	
CLIENT NAME:	

GANGANAGAR COMMODITY LIMITED

SET OF ACCOUNT OPENING DOCUMENTS

S. NO.	NAME OF THE DOCUMENT	BRIEF SIGNIFICANCE OF THE DOCUMENT	PAGE NO.
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MANDATORY DOCUMENTS AS PRESCRIBED BY FMC & EXCHANGES

1.	INSTRUCTIONS	Check list for filling KYC form	4
2.	ADDITIONAL DOCUMENTS LIST	Documentary required for Non-individuals	5
3.	KYC/CKYC APPLICATION FORM	Account opening form for Individuals	7
4.	ANNEXURE (PART-1)	Account opening form for Non-individuals	8-10
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6.	TARIFF SHEET	Details of brokerage and other charges levied on the client for trading on the Commodity Exchange(s)	17

VOLUNTARY DOCUMENTS

7.	VOLUNTARY DOCUMENTS	Request for trade alerts through sms & email, Authorization for sharing personal information, Authority to Pledge the shares/securities/commodities, Verbal order acceptance authorization, Running account authorization, online trading facility.	18-19
8.	POLICY & PROCEDURE	Refusal of orders for panny/illiquid commodity, Setting up client's exposure limits, The right of sell client's commodities or close positions, Applicable brokerage rate, Imposition of penalty/ delayed payment charges/ other charges, Deregistering a client and termination of a relationship, Disputes.	20-23
9.	APPENDIX-A	Electronic Contract Note (ECN)- Declaration (voluntary)	24
10.	ACCOUNT HANDLING MANDATE	Letter of Authority & details of Authorised Representative	25
11.	FATCA/CRS DECLARATION	Details of Account Holder	26-27
12.	DISCLOUSER	Disclouser information	28

I /We acknowledge receipt of the client copy. I/We have read the contents of these and agree to abide by them. I/We further understand that the copies of rest of the document mentioned in above index shall be provided to me/us after verification/ acceptance by the brocker.

Signature



Date

D	D	M	M	Y	Y	Y	Y
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INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

2. 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 Commodities Derivatives on behalf of company/firm/others.
3. 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.
4. If any proof of identity or address is in a regional language, then translation into English is required.
5. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
6. If correspondence & permanent address are different, then proofs for both have to be submitted.
7. Sole proprietor must make the application in his individual name & capacity.
8. For non-residents and foreign nationals, (allowed to trade subject to RBI and FIPB/FEMA guidelines and other applicable statutory approvals), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
9. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
10. In case of Merchant Navy NRI's , Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted along with other statutory approvals required for investment in commodities.
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.

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

2. Unique Identification Number (UID) (Aadhaar)/Passport/ Voter ID Card/Driving License.
3. PAN card with photograph.
4. Identity card/document with applicant's photo, issued by any of the following: Central/State Government and its Department, 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.

D. 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.)

2. Unique Identification Number (UID) (Aadhaar)/Passport/ Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.
3. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 2 months old.
4. Bank Account Statement/Passbook - Not more than 3 months old.
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. 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 (Subject to the continued exemption granted by Government)

E. List of people authorized to attest the documents:

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

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

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> •Copy of the balance sheets for the last 2 financial years (to be submitted every year). •Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in 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 number of whole time director/two directors in charge of day to day operations. •Photograph, POI, POA, PAN of Individual promoters holding control - either directly or indirectly. •Copies of the Memorandum and Articles of Association and certificate of incorporation. •Copies of the Board Resolution for investment in Commodity market. •Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in commodity on behalf of company/firm/others and their specimen signatures.
Partnership Firm	<ul style="list-style-type: none"> •Copy of the balance sheets for the last 2 financial years (to be submitted every year). •Certificate of registration (for registered partnership firm only). •Copy of partnership deed. •Authorised signatories list with specimen signatures. •Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> •Copy of the balance sheets for the last 2 financial years (to be submitted every year). •Certificate of registration (for registered trust only). •Copy of Trust deed. •List of trustees certified by managing trustees/CA. •Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> •PAN of HUF. •Deed of declaration of HUF/List of coparceners. •Bank pass-book/bank statement in the name of HUF. •Photograph, POI, POA, PAN of Karta.
Government Bodies	<ul style="list-style-type: none"> •Self-certification on letterhead. •Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> •Copy of Registration Certificate under Societies Registration Act. •List of Managing Committee members. •Committee resolution for persons authorized to act as authorized signatories with specimen signatures. •True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

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KNOW YOUR CLIENT (KYC) / CENTRAL KYC REGISTRY APPLICATION FORM (For Individuals)

Ganganagar Commodity Limited
 424, 4th Floor, City Center,
 The Mall, Kanpur(U.P.)

Application Type* New Update

KYC Number
 (Mandatory for KYC update request)

PHOTOGRAPH

Please affix your recent passport size photograph

2

Signature Across Photograph

Please fill this form in **ENGLISH** and in **BLOCK LETTERS** (All fields are Mandatory)

A. IDENTITY DETAILS

1. Name of the Applicant (Same as ID Proof)
 Maiden Name (if any)

2. Father's / Spouse Name

3. Mother Name

4. a) Gender Male Female Transgender
 b) Marital Status Single Married c) Date of Birth
 D | D | M | M | Y | Y | Y | Y

5. a) Nationality Indian Others Pls. specify.....
 b) Residential Status Resident Individual Non Resident Foreign National Person of Indian Origin

6. a) PAN b) Aadhaar Number, if any

7. Specify the proof of Identity submitted PAN Card Any other (please specify).....

B. ADDRESS DETAILS

Address Type Residential / Business Residential Business Registered Office Unspecified

1. Correspondence Address
 City / Town / Village PIN Code
 State Country

2. Specify the proof of address submitted for Correspondence Address

3. Contact Tel. (Off.) with STD Code Tel. (Res.) with STD Code
 Details Fax No. with STD Code Mobile No.
 Email ID

4. Permanent Address (if different from above. Mandatory for Non-Resident Applicant to specify overseas address)
 City / Town / Village PIN Code
 State Country

C. DECLARATION

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

Date D | D | M | M | Y | Y | Y | Y Place

3

Signature / Thumb Impression of Applicant

ATTESTATION / FOR OFFICE USE ONLY

In person Verification (IPV) Details / KYC Verification Carried out by :
 Name of the person who has done the IPV: _____
 Designation: _____ Employee ID: _____
 Name of Sub-Broker/Authorised Person _____

Name of the Organization: Ganganagar Commodity Ltd. Emp. Branch
 Date of IPV: D | D | / | M | M | / | Y | Y | Y | Y

Signature of the person who has done the IPV _____

Original Verified, Self Attested Documents & Certified copies received Date D | D | M | M | Y | Y | Y | Y

Seal/Stamp of the Intermediary

Signature of the Authorised Signatory

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

Ganganagar Commodity Limited
424, 4th Floor, City Center
The Mall, Kanpur(U.P.)

PHOTOGRAPH

Please affix your recent passport size photograph



Signature Across Photograph

Please fill this form in **ENGLISH** and in **BLOCK LETTERS** (All fields are Mandatory)

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

B. ADDRESS DETAILS	
1.	Correspondence Address City / Town / Village PIN Code State Country
2.	Specify the proof of address submitted for correspondence address
3.	Contact Details Tel. (Off.) <input type="text"/> with STD Code Tel. (Res.) <input type="text"/> with STD Code Fax No. <input type="text"/> with STD Code Mobile No. <input type="text"/> Email ID <input type="text"/>
4.	Registered Address (if different from above) City / Town / Village PIN Code State Country

C. OTHER DETAILS	
1.	Name, PAN, residential address and photographs of Promoters/ Partners / Karta / Trustees and whole time directors:
2.	DIN of whole time directors
3.	Aadhaar number of Promoters / Partners / Karta

If space is insufficient, enclose these details separately
[Illustrative format enclosed on page no. 5 & 6]

D. DECLARATION	
I/We hereby declare that the details furnished above are true and correct to the best of my / our knowledge and belief and I / we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am / we are aware that I / we may be held liable for it.	
Date <input type="text" value="D D M M Y Y Y Y"/>	Name & Signature of the Authorised Signatory(ies)

FOR OFFICE USE ONLY	
In person Verification (IPV) Details: Name of the person who has done the IPV: _____ Designation: _____ Employee ID: _____ Name of Sub-Broker / Authorised Person _____ Name of the Organization: Ganganagar Commodity Ltd. Date of IPV: <input type="text" value="D D / M M / Y Y Y Y"/> Signature of the person who has done the IPV _____	Seal/Stamp of the Intermediary Signature of the Authorised Signatory _____
<input type="checkbox"/> Original Verified and Self Attested Document copies received	Date : _____

C. DEPOSITORY ACCOUNT(S) DETAILS, If available

Depository Participant Name

Depository Name (NSDL/CDSL) NSDL CDSL

Beneficiary Name

DP ID Beneficiary ID (BO ID)

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

D. TRADING PREFERENCES

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

Name of the National Commodity Exchanges		Date of Consent for trading on concerned Exchange	Signature of the Client	Signature of the Client	Signature of the Client
NCDEX	Futures	<input type="text"/>			Please sign here to select all the segments
	Options	<input type="text"/>			
MCX	Futures	<input type="text"/>			
	Options	<input type="text"/>			
ICEX	Futures	<input type="text"/>			
	Options	<input type="text"/>			

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

E. INVESTMENT/TRADING EXPERIENCE

No Prior Experience Years in Commodities Years in other investment related fields

F. G.S.T. REGISTRATION DETAILS (As applicable, State wise)

	State	GST Registration Number
1.	<input type="text"/>	<input type="text"/>
2.	<input type="text"/>	<input type="text"/>
3.	<input type="text"/>	<input type="text"/>

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

PROOF OF IDENTITY [PoI] OF RELATED PERSON*

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

L. ADDITIONAL DETAILS

1.	Whether you wish to receive communication from Member in electronic form on your Email-id <input type="checkbox"/> Yes <input type="checkbox"/> No {If yes then please fill in Appendix-A on page No. 23}
2.	Mode of receiving Standard Account Opening Documents (Sr. No. 2, 3, 4 and 11 under INDEX): <input type="checkbox"/> Electronic Mode <input type="checkbox"/> Physical Mode
3.	<p>Mobile Number Declaration I hereby declare that the Mobile number mentioned on KYC belongs to :</p> <p>(*Family to strictly include spouse, dependent children and dependent parents only, Kindly tick on relevant option.)</p> <p><input type="checkbox"/> Self <input type="checkbox"/> Family* (please specify the relation below) :</p> <p><input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents</p> <p>Family PAN <input type="text"/></p>
4.	<p>E-mail ID Declaration <input type="checkbox"/> I hereby declare that I do not have any E-mail ID.</p> <p>OR</p> <p><input type="checkbox"/> I hereby declare that the E-mail ID mentioned on KYC belongs to:</p> <p><input type="checkbox"/> Self <input type="checkbox"/> Family* (please specify the relation below) :</p> <p><input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents</p> <p>Family PAN <input type="text"/></p>

M. NOMINATION DETAILS (For Individuals Only)

<input type="checkbox"/> I/We wish to nominate	<input type="checkbox"/> I/We do not wish to nominate
Name of the Nominee	<input type="text"/>
Relationship with the Nominee	<input type="text"/>
PAN of Nominee	<input type="text"/>
Address of the Nominee	<input type="text"/>
City / Town / Village	<input type="text"/>
State	<input type="text"/>
Date of Birth of Nominee	<input type="text"/>
PIN Code	<input type="text"/>
Country	<input type="text"/>
Phone No. of Nominee	<input type="text"/>

Please affix the recent passport size photograph of the Nominee

Signature of Nominee across Photograph

IF NOMINEE IS A MINOR, DETAILS OF GUARDIAN

Name of Guardian	<input type="text"/>
Address of the Guardian	<input type="text"/>
City / Town / Village	<input type="text"/>
State	<input type="text"/>
Phone No. of Guardian	<input type="text"/>
Signature of the Guardian	<input type="text"/>
PIN Code	<input type="text"/>
Country	<input type="text"/>

Please affix the recent passport size photograph of the Guardian

Signature of Guardian across Photograph

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

Name (1) <input style="width: 90%;" type="text"/>	Name (2) <input style="width: 90%;" type="text"/>
Address <input style="width: 90%;" type="text"/>	Address <input style="width: 90%;" type="text"/>
<input style="width: 90%;" type="text"/>	<input style="width: 90%;" type="text"/>
<input style="width: 90%;" type="text"/>	<input style="width: 90%;" type="text"/>
<input style="width: 90%;" type="text"/> PIN Code <input style="width: 10%;" type="text"/>	<input style="width: 90%;" type="text"/> PIN Code <input style="width: 10%;" type="text"/>
Signature <input style="width: 90%;" type="text"/> ⊗	Signature <input style="width: 90%;" type="text"/> ⊗

DECLARATION

1. I/We hereby declare that the details furnished above are true, correct and complete to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We understand that the Commodity Broker is relying on this information for the purpose of determining the status of the applicants named above in compliance with FATCA/CRS. The Commodity Broker is not able to offer any tax advice on FATCA or CRS or its impact on the applicants and I/We shall seek advice from professional tax advisor for any tax questions. Further, I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. I/We agree, as may be required by Regulatory authorities, Commodity Broker shall be required to comply to report, reportable details to regulators / tax authorities / or close or suspend my/our account(s).
3. I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non-mandatory documents.
4. I/We further confirm having read and understood the contents of the 'Right and Obligations' document(s), 'Risk Disclosure Document' and 'Do's and Dont's'. I/we do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on Member's designated website : www.gclbroking.com.

 Place

 Date

6

Signature of Client/(all) Authorized Signatory(ies)*
*** Form need to be signed by all the authorized signatories.**
FOR OFFICE USE ONLY

 UCC Code allotted to the Client
Documents verified with Originals

 Name of the Employee/AP/SB*

 Employee Code

 Designation of the Employee/AP/SB*

 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 www.gclbroking.com, for the information of the clients.

 Date

* AP : Authorised Person, SB: Sub-Broker

Signature of the Authorised Signatory
Seal/Stamp of the Member

TARIFF SHEET

To,
M/s Ganganagar Commodity
Ltd. 424-4th floor, City Centre,
The Mall Kanpur (U.P.)-208001

I/We agree to pay the charges as per following charge structure for my/our Trading account with Ganganagar Commodity Ltd. effective from the time of account opening.

Client ID :

Particulars	NCDEX Rs. Per Crore	MCX Rs. Per Crore	ICEX Rs. Per Crore
Trading			
Delivery			

In addition to brokerage, the following statutory charges will also be levied.

Schedule of Charges:

1. Turnover Charges
2. GST on TOC & Brokerage
3. Stamp Duty: State-wise stamp duty as applicable will be levied
4. Education Cess and Higher Education Cess
5. Commodity Transaction Tax as per the Government of India

I am aware of the fact that these charges can be changed from time to time as per the circular of respective Exchange/FMC or Ganganagar Commodity Ltd can make changes in my Brokerage with prior information to me on telephone or written.

Client Signature 

Date

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

written instructions for order placement / modification and cancellation. I / We therefore authorize you to accept my (our) / my (our) authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I / We understand the risk associated with verbal orders and accept the same, and agree that I / We shall not be entitled to disown orders and consequent trades (if any) by shifting the burden of proof by asking you to prove the placement of orders through telephone recording etc.

5. RUNNING ACCOUNT AUTHORISATION: In order to avoid time consuming repeated pay-in by me/us and pay – out by you of funds and commodities. I /we hereby direct and authorize you to maintain running account(s) and debit /credit commodities and funds from/to the running accounts and make pay-in / receive securities, commodities and funds to / from exchanges/ clearing corporations / other receiving parties (if applicable). Further, subject to your discretion and valuation please treat my / our securities, commodities and funds lying to my / our credit in running accounts as margin/ collateral for my / our dealings/ trading. In the event I / we have outstanding obligations on the settlement date, you may retain the requisite securities/commodities / funds towards such obligations along with funds and / or securities expected to be required to meet margin obligations for next 5 trading days. In case, I / we have traded during my / our chosen settlement period, you may retain upto the maximum amount as permissible within in regulatory provisions duly netting off across all commodity exchanges and their segments. Authorization is subject to changes as prescribed by the exchange(s)/ SEBI from time to time. While settling the account, please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. In the statement(s) being sent, please provide details regarding retention of funds / securities/commodities and pledge, if any. I / We shall bring any discrepancy in the statement(s) preferably within 7 working days from the date of receipt to your notice so as to allow you to take remedial steps, if any are warranted. Please do not carry out above stated settlement of running account in the event I / We avail margin trading facility. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of Bank Guarantee (BG)/Fixed Deposit receipts (FDR). I / We am/are entitled to revoke this authorization at any time.

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

- Once in a Calendar Quarter Once in a Calendar Month

6. FORMAT FOR CLIENT OPTING ONLINE TRADING FACILITY :

I/We wish to avail the following facility being offered by you:

Product / Facility (Please tick the appropriate)			
GCL On Time	<input type="checkbox"/>	ODIN Diet	Rs. 500 Per Annum <input type="checkbox"/>

- I/We also hereby authorize you to debit the annual subscription fees as applicable to my/our trading account for availing opted facility. The Subscription fee is non-refundable.
- I/We hereby authorize you to debit the yearly subscription fees as applicable for Exe based services opted by me/us on annual basis. In case I/We wish to withdraw the said facility, I/We will submit the related request in writing.
- I/We fully aware and agree to the provisions specifying possible risks, responsibilities, obligations and liabilities associated with internet based trading in terms of clauses defined under section “Internet & Wireless Technology based trading facility provided by Members to Client” of the document “Right and Obligations of Members, Authorized Persons and Client” of account opening form.

Client Signature

Date

Client Name

Client Code

POLICY & PROCEDURE**1. Refusal of orders for penny / illiquid Commodity**

The Commodities Broker shall have the absolute discretion, from time to time, to refuse/partially refuse/accept orders in one or more commodities due to various reasons including trading in penny commodities, market liquidity, value of commodity(ies), illiquid options, far month options, writing of options, market capitalization of the commodities and such commodity(ies) not in demat form, commodities which are not in the permitted list of the Commodities Broker / exchange(s) / SEBI and/or appear under illiquid commodities declared by the exchange(s). It is also provided further that Commodities Broker may ask for compulsory settlement / advance payment of expected settlement value/delivery of commodities for settlement prior to acceptance / placement of order(s) as well. Losses, if any, on account of such refusal by the Commodities Broker or due to delay caused by such limits, shall be borne exclusively by the client alone. The Commodities Broker shall not be responsible for any financial or other implications due to such execution, delay in execution or non-execution of any such orders. The Commodities Broker shall have the prerogative to place such restrictions, notwithstanding that the client has sufficient credit or margin available in his account. The Commodities Broker, may however, allow for acceptance of such orders, for certain commodities on its own discretion, through its specific internal process, instead of allowing such orders through the standard process like online trading platform or its branches.

2. Setting up client's exposure limits

The Commodities Broker, may from time to time, vary limits or impose new limits for the orders that the client can place through the Commodities Broker's trading platforms. The Commodities Broker would have the sole discretion on setting these limits based on its risk perception of the client, Margin received from the client, Market conditions and other factors, but not limited to, limits on account of exchange/ SEBI directions/ limits (such as Commodities Broker level/ market level limits in commodity specific/volume specific exposures etc.). This would include exposure limits, turnover limits, limits as to the number, value and/or kind of commodities in respect of which orders can be placed etc.). The client is aware that the Commodities Broker may be unable to inform the client of such variation, reduction or imposition in advance. The Commodities Broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the Commodities Broker's trading system on account of any such variation, reduction or imposition of limits. The Commodities Broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in commodities through the Commodities Broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / commodities or the order being outside the limits set by the Commodities Broker / exchange / SEBI and any other reasons which the Commodities Broker may deem appropriate in the circumstances. Losses, if any, incurred by the client on account of such refusal or delay, shall be borne exclusively by the client alone. The Commodities Broker shall have the prerogative to allow differential buy and sell limits for its clients depending upon credit worthiness, integrity and past conduct of each client.

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

The Commodities Broker shall have the right and the prerogative to sell client's commodities, both unpaid commodities as well as collaterals deposited towards margins, or close out client's open positions, without giving notice to the client where there is either a delay or failure of the client to meet the pay-in/settlement obligations and / or there is delay /failure of the client to bring additional margins to cover the increase in risk in dynamic and volatile market conditions. The client would be responsible for monitoring his / her / its position (dealings/trades and valuation of commodity(ies)) on his / her / its own and provide the required/deficit margin / commodity(ies) forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the Commodities Broker to the client and / or whether or not such communication is received by the client. The client is not entitled to trade without adequate margin and that it shall be client's own responsibility to ascertain beforehand the margin requirements for its orders/ traders/deals and to ensure that the required margin is made available to the Commodities Broker in such form and manner as may be required by the Commodities Broker. The client shall ensure that funds/commodities are made available in time and in designated form at designated bank(s) and depository account(s) of the Commodities Broker, for meeting his/her/its pay-

in/settlement obligation of funds and commodities. The Commodities Broker shall not be responsible for any claim/loss/damage arising out of non-availability/short availability/delayed availability of funds/commodities by the client in the designated account(s) of the Commodities Broker for meeting the pay-in/settlement obligation of either funds or commodities. If the client gives orders/trades in the anticipation of the required commodities being available subsequently for pay-in/settlement through anticipated pay out from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of commodities/funds for pay-in/settlement for any reason whatsoever including but not limited to any delays/shortages at the exchange or Commodities Broker level/non-release of margin by the Commodities Broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions / square-off / closing outs etc., shall be solely to the account of the client and the Commodities Broker shall not be responsible for the same in any form or manner whatsoever. In case the payment of the margin/commodity is made by the client through a bank instrument, the Commodities Broker shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument & subsequent updation in records as per Commodities Broker's process. Where the margin/ commodity is made available by way of commodities, it is upto the Commodities Broker's discretion to decline its acceptance as margin &/or to accept it at such reduced value as the Commodities Broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the Commodities Broker may deem fit in its absolute discretion. In the event of client failing to maintain or provide the required margin/fund/ commodity(ies) or to meet the funds/ margins/commodities pay-in obligations on immediate basis for the orders/trades/deals of the client and the Commodities Broker shall have the right, without any further notice or communication to the client, to withhold pay-out of funds/commodities, to liquidate commodity(ies), to disable trading facility to the client. Losses, if any, on account of any one or more steps, as enumerated herein above, being taken by the Commodities Broker, shall be borne exclusively by the client alone.

4. Applicable Brokerage Rate

4.1 The MEMBER shall levy brokerage for the CLIENT's transactions as per the brokerage slabs mutually agreed with the CLIENT in the CLIENT Registration Form subject to the maximum rate prescribed by the Exchanges / SEBI. The CLIENT shall pay such fees, charges, and commissions as may be notified by the MEMBER from time to time depending upon the services availed by the CLIENT. The MEMBER may require the CLIENT to pay an upfront / advance service fee for availing the services offered by the MEMBER and the CLIENT shall pay such fee as and when so required.

4.2 Subject to such maximum prescribed rates, the MEMBER may revise the rates from time to time after intimation to the CLIENT of the revised rates and the date from which the revised rates shall take effect. The MEMBER may intimate the revised rates either in writing addressed to the CLIENT or by publishing the rate on its back-office website or in the CLIENT's back-office login or a combination of any such means. The CLIENT shall be deemed to have agreed to the change in brokerage rates upon transactions being executed on and from such effective date.

4.3 The CLIENT further agrees to pay any applicable taxes including the transaction tax, service tax, duties and levies as may be levied on the transaction from time to time, Exchange Transaction charges and other charges based on value traded or otherwise as may be levied by the relevant Exchanges / Statutory Bodies or as determined by the MEMBER from time to time.

4.4 The applicable Stamp Duty payable on any instruments relating to any transaction including without limitation any stamp duty payable on Contract Notes issued pursuant to transaction executed shall be payable by the CLIENT. Without prejudice to the generality of the above clause, the CLIENT also agrees to pay any and all additional stamp duty payable if Contract Notes issued for any transaction executed are received by the CLIENT residing in any other state other than the state of Maharashtra.

4.5 The CLIENT shall pay all costs, charges, expenses, damages, losses, interests (including penal interests) and other outgoings incurred / determined or suffered by the MEMBER as a result of the CLIENT's default, including without limitation, due to dishonour of cheques. The CLIENT may be charged separately for online trading application, advance subscription charges, SMS charges, research subscription charges, demat charges on transactions through the Broker Margin/Beneficiary Account towards pay-in / pay-out / pledge of securities to

Broker Margin/Pledge Account or Exchange Pledge Account or CLIENT's Beneficiary Account, incurred directly or indirectly, for and behalf of the CLIENT.

5. **Imposition of penalty/delayed payment charges/other charges**

The Commodities Broker would be entitled to levy or charge delayed payment charges not exceeding 24% per annum on any amounts which are overdue from the client towards trading or on account of any other reasons. The client shall pay to the Commodities Broker brokerage, all taxes, duties, levies to the commodities exchanges (including any amount due on account of reassessment / backlogs etc.), transaction expenses, F&O charges, delayed payment charges, short delivery charges, auction charges, cheque stop payment charges, cheque bounce charges, incidental expenses such as postage, courier etc. as they apply from time to time to the client's account /transactions / services that the client avails from the Commodities Broker. The Commodities Broker may impose penalties / fines for any orders/trades / deals / actions of the client which are contrary to Commodities Broker Client Agreement/rules / regulations / Bye-Laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the Commodities Broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders/trades / deals/actions of the client, the same shall be borne by the client.

6. **Deregistering / Suspending a Client and Termination of relationship**

6.1 The Broker may suspend the account of Client with immediate effect and if need be de - register /terminate the Client in any of the following circumstances:

- a. If the actions of the Client are prima facie illegal / improper or such as to manipulate the price of any commodities or disturb the normal /proper functioning of the market, either alone or in conjunction with others, in such eventuality the Client acknowledges that the Broker reserves theright to keep in abeyance the payout/ delivery of funds /securities or any other assets to Client as may be deemed fit by the Broker depending upon the gravity of the violation or/and through trades done by/on behalf of the Client considered as prima facie illegal / improper by the Broker / the relevant exchange(s) / regulators(s). The Client further understands and accepts that the Broker may levy penalty for trades done by / on behalf of the Client which are considered prima facie illegal / improper by the Broker/ the relevant exchange(s) / regulator(s), as may be deemed fit by the relevant exchange(s) / regulator(s)/Broker.
- b. If there is any commencement of a legal process against the Client under any law in force;
- c. On the death/lunacy or other disability of the Client;
- d. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- e. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- f. If the Client being a partnership firm, has any steps taken by the Client and/ or its partners for dissolution of the partnership;
- g. If the Client have taken or suffered to be taken any action for its reorganization, liquidation ordissolution;
- h. If the Client has made any material misrepresentation of facts, Including (without limitation) In relation to the security;
- i. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted Its Inability to pay its debts, as they become payable;
- j. If the Client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the Broker;
- k. If the Client is in breach of any term, condition or covenant with the Broker.
- l. If any covenant or warranty of the Client is incorrect or untrue in any material respect;
- m. Client causes nuisance and disruption in the functioning of the Broker.

- 6.2 Information about default by a Client may be brought to the notice of third parties including but not Limited to trade associations, the relevant exchange(s) &/or legal / regulatory authorities. In case where defaulting Client is a corporate entity/partnership/ proprietary firm or any other artificial legal entity, then the name(s) of director(s)/ promoter(s)/ partner(s)/ proprietor as the case may be, may also be communicated by the Broker.
- 6.3 The Client may request the Broker to temporarily suspend his account, Broker may do so subject to Client accepting /adhering to conditions which may be including but not limited to prior settlement of account and/ or other obligation. The Broker may withhold the payouts of Client and/or suspend the trading account due to Client's trading being prima facie illegal / improper or due to judicial or / and regulatory order/action requiring Client suspension.
- 6.4 The Broker may disable / freeze the account & / or trading facility / any other service facility,
- a. if, prima facie illegal , the Client has committed a crime / fraud or has acted in contradiction of this agreement or / is likely to evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the Broker so apprehends.
 - b. if the Client creates any encumbrance over the assets placed as margin, or otherwise takes any action towards creation of any encumbrance over the assets placed as margin;
 - c. if the title of the Client to the asset(s) placed as margin/ security is in jeopardy or if there is an order of attachment or lien against the assets(s) placed as margin/security;
 - d. if an Event of Default has occurred under any other agreements entered into by the Client with the Broker or Broker Group companies.

7. **Disputes**

The Broker and the Client agree that they shall refer any claim and / or difference and/or disputes to arbitration as per the rules, byelaws and regulations of the concerned exchange and circulars issued there under as may be in force from time to time.

Date :

D	D	M	M	Y	Y	Y	Y
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Client Signature

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To,
 Ganganagar Commodity Limited (“GCL”)
 424, 4th Floor, City Center, The Mall, Kanpur (U.P.)

Dear Sir,

I, a client with Member M/ s. Ganganagar Commodity Limited of National Commodity & Derivatives Exchange Limited (NCDEX) , Multi Commodity Exchange of India Ltd (MCX) and Indian Commodity Exchange Ltd. (ICEX) 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 language known to me.
- I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

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

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

Client Name

Unique Client Code PAN

Address

Client Signature  Place Date

Verification of the client signature done by,

Name of the designated officer of the Member

Signature

FATCA / CRS DECLARATION FOR INDIVIDUALS

Trading Code							
Sr. No.	Details of Account Holder						
1.	Address in the jurisdiction details where applicant is resident outside India for tax	Address					
		City / Town / Village					
		State, Pin Code and Country					
2.	Country of Birth	US					
		Other					
3.	Place of Birth	City / Town					
4.	Source of Wealth	Salary					
		Business					
		Gift					
		Ancestral Property					
		Rental Income					
		Prize Money					
		Others					

Please specify the details of all countries where you hold tax residency and its Tax identification Number & Type :

Sr. No.	Details of Account Holder	
1.	Country of Residence for Tax Purpose (Other than India)#	
2.	Tax Identification No. (US TIN) or Equivalent (Other)	
3.	Identification Type	

To include all countries other than India, where investor is Citizen/Resident/Green Card Holder/ Tax Resident in those respective countries especially of USA.

Declaration & Acknowledgement:

1. I have understood the information requirement of this form (read with the FATCA-CRS Instructions below) and hereby confirm that the information provided above is true, correct and complete to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. In case of any change in the above given status on a future date, I undertake to inform Ganganagar Commodity Ltd. the same within 30 Days.
2. I agree that if I/am a U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.) requiring reporting under FATCA/CRS or any other Law, my account details, as required under inter governmental agreement (IGA)/Multilateral competent authority agreement (MCAA) Signed by Indian government, Would be reported by Ganganagar Commodity Ltd. to the relevant Tax Authority.
3. If My Country of Birth is US, I/am providing a certificate of relinquishment of Citizenship (loss of Nationality) or a self certification for stating reason for not having such a certificate despite relinquishing US citizenship OR not obtaining US citizenship at birth.

I hereby authorize you to disclose, share, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries to facilitate single submission / updation & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end.

Signature _____

Date

D	D	M	M	Y	Y	Y	Y
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1. Who is US person?

In case of individuals, U.S. person means a citizen or Resident of the United States. Persons who would qualify as US person could be born in the United States, Born outside the united states of a US parents, Naturalized Citizens, Green Card Holders, Tax residents.

2. Who is a reportable person (non US) under common reporting standards (CRS)?

Under common reporting standards (CRS), Reportable person means tax resident of a reportable foreign jurisdiction other than US and India.

3. Document to be collected if Customer's Country of birth is US but Declares that he/she is not a US person

- Certificate of relinquishment of citizenship (loss of nationality certificate); or
- Self certification for stating reason for not having such a certificate despite relinquishing US citizenship; Or
- Self certification for stating reasons for not obtaining US citizenship at birth.

4. MF transactions will be permitted to clients/ joint holders in new folios after reviewing this declaration and existing KYC data and only if permitted by AMCs.

5. Towards compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

Also note that you may receive more than one request to provide this information, if you have multiple relationships with us or our group entities. Therefore it is important that you respond to our request, even if you believe that you have already provided this information earlier.

Please note that above information is provided only for quick reference to customers. You are requested to refer Rule 114F, 114G and 114H of Income-tax Rules, 1962 consult a legal/tax advisor for any clarification.

DISCLOUSER INFORMATION

To

Sir,

This is to inform you that we do client based trading and pro account trading in Multi Commodity Exchange of India Ltd (MCX), National Commodity & Derivatives Exchange Limited (NCDEX), Indian Commodity Exchange Limited (ICEX)

Thanks and Regards,
Ganganagar Commodity Limited

I acknowledge the receipt of information given above by Ganganagar Commodity Limited that they do client base trading and Pro account Trading

Signature of
Client-----

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