

IIFL

India Infoline Commodities Limited

Commodities Broking (Individual)

PLEASE READ THIS DOCUMENT CAREFULLY BEFORE AGREEING TO ITS CONTENTS
AND ENSURE ALL THE DETAILS PROVIDED ARE CORRECT.

For Account Opening Team Purpose

Sr. No. CCINNV10615

Intenal Ref. No.

Login ID :

LEAD ID:

Existing Equity ID :

Wire ID:

NAME

CODE

Marketing Executive (E1)

Relationship Manager (E2)

Remiser (if any)

Branch/ FAN

Online software for trading. Yes No

(If No) TT Manager ID:

MCX Membership No.: 10470

FMC (MCX) Code: 0370

NCDEX Membership No.: 00378

FMC (NCDEX) Code: 05521

Process

Employee Code & Name

Process

Employee Code & Name

Pre-Audit Maker

Date Entry Maker

Pre-Audit Checker

Date Entry Checker

INDEX OF DOCUMENTS

Sr. No.	Name of the Document	Brief Significance of the Document	Page Nos.	
MANDATORY DOCUMENTS AS PRESCRIBED BY FMC & EXCHANGES				
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3.	Tariff sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the commodity exchange(s).	11	
4.	Uniform Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the commodities market.	Included in Client Copy	
5.	Rights and Obligations of Members, Authorized Persons and Clients	Document stating the Rights & Obligations of member, Authorized Person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).		
6.	Do's and Don'ts for the Investors	Document detailing do's and don'ts for trading on exchange, for the education of the investors.		
VOLUNTARY DOCUMENTS				
1.	Annexure A to the Document Executed (MCX & NCDEX) (including 'Internet Trading' clauses)	Clauses required for smooth operations of client's account.	Included in Client Copy	
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3.	Authorisation Letter	A. Running Account Authorisation - Required for maintaining clients account on a running account basis. B. SMS Alerts for Commodity Exchanges - Required for availing the facility of receiving SMS Alerts for transaction on Commodity Exchanges C. Authorisation to send password by SMS - Required for issuing the password of the client's trading account on the registered mobile number D. Form for Registration & Verification of Mobile No. & E-mail address - SMS and E-mail alert to the client by the Exchange		13 - 15

INSTRUCTIONS/ CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters Partners/ Karta/ Trustees and whole time directors and persons authorized to deal in commodity derivatives on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a regional language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FIPB/FEMA guidelines and other applicable statutory approvals), 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 along with other statutory approvals required for investment in commodities.
10. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

C. Proof of Address:- List of documents admissible as Proof of Address:

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

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

D. Exemptions to PAN

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

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

E. List of people authorized to attest the documents:

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

FORMAT FOR BANK VERIFICATION LETTER

To,

Date :

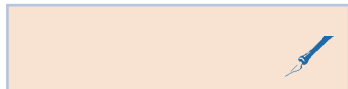
D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

INDIA INFOLINE LTD.

Mumbai.

Dear Sir,

This is to certify that _____ (name of the client) resident of _____
_____ (full address), is holding a savings/ current bank account
no. _____ with our _____ branch since _____. The
signature and photograph of the account holder as per the specimen recorded with us is being attested below.

CLIENT SIGNATURE

Signed in my presence and attested _____
(Name of Branch Manager)

Signature of Branch Manager _____
(Sign under bank stamp)

MICR code of Branch _____

Put Bank stamp
across photograph

NOTES

1. All communication shall be sent at the correspondence address/ mobile number/ e-mail ID of the Sole/ First Holder only.
2. Thumb impressions and signature other than English or Hindi or any of the other language not contain in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Strike of whichever is not applicable.

Name of Member: **INDIA INFOLINE COMMODITIES LTD.**
FMC Unique Membership Code: MCX: 10470
(UMC) No.: NCDEX: 00378
FMC (MCX): 0370
FMC (NCDEX): 0521
Registered office address: 143, M G R Road, Perungudi, Chennai - 600 096, Tamilnadu.
Tel.: +91-44-4398 2500/ 4380 4002 Fax: +91-44-4386 1905
Email: comm@indiainfoline.com
Correspondence office address: IIFL Centre, Kamala City, Senapati Bapat Marg, Lower Parel, Mumbai - 400 013
Tel: (91-22) 4249 9000/ 4060 9000 • Fax: (91-22) 4060 9049
Name of compliance officer: Mr. Dinesh Tanwar
Ph: +91-44-4398 2597 Email Id: dinesh.tanwar@indiainfoline.com
Name of COO: Mr. Chintan Modi
Ph: +91-22-4249 9000 Email Id: chintan@indiainfoline.com

For any grievance/dispute please contact Member (India Infoline Commodities Limited) at the above address or email Id Comm@indiainfoline.com and Phone no. +91-22-4007 1000 In case not satisfied with the response, please contact MCX at grievance@mcxindia.com and Phone no. 91-22-6731 8888 and NCDEX at askus@ncdex.com.

- Abbreviations:**
- 1) * The Proof should be valid on the DATE of agreement.
 - 2) ** The Proof should not be more than 2 months old.
 - 3) # Bank Statement should be original and of latest quarter. It should have Bank Manager's Stamp & Sign, if original stationery is not available.
 - 4) ## Bank Passbook should have Bank Manager's Stamp & Sign if it is hand written.

FOR OFFICE PURPOSE ONLY

1. CLIENT RISK CATEGORISATION UNDER PMLA: LOW RISK MEDIUM RISK HIGH RISK

2. SOURCING & SERVICE RM/ SALES EXECUTIVE/ FAN NAME & CODE

	CODE	NAME
Introducer (E1-Sourcing Sales Employee)		
Group Code (E2-Servicing Sales Employee)		
Remiser (if any)		
Branch / FAN		

3. SUBMISSION CHECKLIST

 1. Complete Documentation Received Yes No If No, give details _____

 2. "Verified with Original" stamp affixed on proofs Yes No

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

 3. "PAN verified" stamp with Employee name & signature affixed on proof Yes No

 4. Margin Money collected Yes No Amount in Rs. _____ Rs. (in words) _____

 Chq./ CMS No: _____ Chq./ CMS. Date: Bank Name _____

I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note.

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

I have read and understood that if any of the requirements is not fulfilled then a penalty would be charged to me or any other action may be taken as deemed fit by the Management for non compliance from my end.

Branch Address : _____

_____ Pincode : _____

Name of the Employee of IIFL : _____ Employee Code : _____

 Employee Signature & Stamp : 1/2

 Date
4. KRA REGISTRATION DETAILS (FOR OFFICE PURPOSE ONLY)

If Client is already registered with KRA please fill in below details:

 NDML CVL DOTEX Others (Please Specify) _____

(Please furnish photocopy of KRA Registration letter)

KRA Registration No.: _____

 Date of Registration:

Intentionally left blank

PART II - ACCOUNT OPENING FORM



India Infoline Commodities Limited, 143, M G R Road, Perungudi, Chennai - 600 096, Tamilnadu.
Tel.: +91-44-4398 2500/ 4380 4002 Fax: +91-44-4386 1905

A. ADDITIONAL INFORMATION FOR TRADING ACCOUNT *(Please fill this form in ENGLISH and in BLOCK LETTERS)*

1. TRADING PREFERENCE

STOCK EXCHANGE(S) & SEGMENT ON WHICH YOU WISH TO TRADE:

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

Name of the Exchange	MCX (Multi Commodity Exchange)	NCDEX (National Commodity & Derivatives Exchange)
Signature of the Client		

* At the time of printing the form, the Member must specify the names of the Exchanges where the Member has membership.
[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]

2. INVESTMENT/ TRADING EXPERIENCE

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

3. 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 Registration No.: _____ Validity Date: Name of the State _____

4. 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 _____

5. 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:

Particulars	Name of Authority	Month & Year of Action

6. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

Sub-broker's Name & Code: Registered office address: SEBI Registration number:	If client is dealing through the sub-broker, provide the following details: <input type="text"/> <input type="text"/> <input type="text"/> Tel. <input type="text"/> Fax <input type="text"/> <input type="text"/> Website: <input type="text"/>
Authorised Person's Code : Name : Address :	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Name of stock broker: Name of Sub-Broker, if any: Client Code:	Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all) <input type="text"/> <input type="text"/> <input type="text"/> Exchange: <input type="text"/> Details of disputes/dues pending from/to such stock broker/sub- broker: _____


7. ADDITIONAL DETAILS

Gross Annual Income Details: (Please specify)	a) Income Range per Annum: <input type="checkbox"/> Below Rs.1,00,000 <input type="checkbox"/> Rs.1,00,001 to Rs.5,00,000 <input type="checkbox"/> Rs.5,00,001 to Rs.10,00,000 <input type="checkbox"/> Rs.10,00,001 to Rs.25,00,000 <input type="checkbox"/> More than Rs.25,00,001 OR b) Networth Rs. _____ as on <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> (Networth should not be older than one year)
Please tick, if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP).
Whether you wish to receive: Specify your Email id, if applicable:	<input type="checkbox"/> Physical contract note <input type="checkbox"/> Electronic Contract Note (ECN) <input type="text"/> Whether you wish to avail the facility of internet trading/wireless technology (please specify) <input type="checkbox"/> Yes <input type="checkbox"/> No
Any other information:	_____
Occupation	<input type="checkbox"/> Private Sector <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 (Please Specify) _____
I/WE WISH TO USE ONLINE TRADING SOFTWARE FOR TRADING: <input type="checkbox"/> YES <input type="checkbox"/> NO (Demat Account required with IIFL)	
Signature of Client <input style="border: 1px solid black; padding: 2px 10px;" type="text"/> 	

8. BANK ACCOUNT DETAILS

Bank Name	<input type="text"/>																														
Branch Address	<input type="text"/>																														
City	<input type="text"/>															Country	<input type="text"/>														
State	<input type="text"/>										PIN Code	<input type="text"/>					Tel.	<input type="text"/>													
Bank A/c No.	<input type="text"/>																														
A/c Type:	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others - in case of NRI/ NRE/ NRO (specify) <input type="text"/>																														
IFSC Code	<input type="text"/>															MICR Code	<input type="text"/>														

9. INTRODUCER'S DETAILS

Status Of Introducer	<input type="checkbox"/> Sub-Broker <input type="checkbox"/> Authorised Person <input type="checkbox"/> Remisier <input type="checkbox"/> Existing Account Holder <input type="checkbox"/> Bank Official																														
	<input type="checkbox"/> IIFL Employee <input type="checkbox"/> Any Other Person																														
Introducer's Name:	<input type="text"/>																														
Address	<input type="text"/>																														
City	<input type="text"/>															Country	<input type="text"/>														
State	<input type="text"/>										PIN Code	<input type="text"/>					Tel.	<input type="text"/>													
Occupation	<input type="text"/>															PAN	C O M P U L S O R Y														
DP ID	<input type="text"/> For existing client only					Client ID	<input type="text"/> For existing client only					Login ID	<input type="text"/> For existing client only																		
Designation	<input type="text"/>															PAN	<input type="text"/> If bank employee														
Bank & Branch Name	<input type="text"/>															<input type="text"/> If bank employee															
Employee Code:	<input type="text"/>										Email Id	<input type="text"/> If bank employee																			
	<input type="text"/> 																														
	Signature of the Introducer																														

5. NOMINATION DETAILS

- I/We wish to make nomination (as per details give below)
- I/We do not wish to make a nomination (strike of the nomination details below)

I/We wish to make a nomination and do here by nominate the following person in whom all rights and/ or amount payable in respect of securities held in the Depository by me/us in the said beneficiary owner account shall vest in the event of my/our death.

Name of the Nominee (Mr/ Mrs./ Ms)

Relationship with the applicant (If any)

Address

City PIN Code

State Country **AADHAR**

Contact Details:

Tel. (Off) Tel. (Res) Mobile No.

Fax E-mail ID

PAN of Nominee Signature of Nominee:

To be filled up only if Nominee is minor:

Date of Birth (in case of Minor Nominee)

Name of Guardian (Mr./ Mrs./ Ms)

Address of Guardian

City PIN Code

State Country

Contact Details:

Tel. (Off) Tel. (Res) Mobile No.


Fax E-mail ID

Relation of Guardian with Minor: Guardian PAN No.

Signature of Guardian:


PHOTOGRAPH OF NOMINEE


Please sign across the Photograph



PHOTOGRAPH OF GUARDIAN (In case of Minor nominee)

Please sign across the Photograph



	NAME	SIGNATURE
Client Applicant		

CLIENT DECLARATION

A. DECLARATION

To,
INDIA INFOLINE COMMODITIES LIMITED
 143, MGR Road, Perungudi, Chennai, Tamil Nadu - 600 096, India

Dear Sir,

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 change 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 Member's designated website, if any.

B. CLIENT DECLARATION TO MEMBER

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

I/We, the undersigned, have taken cognizance of circular no. NCDEX/TRADING-114/2006/247 dated September 28, 2006 issued by the National Commodity & Derivatives Exchange Limited (NCDEX) 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 prescribed from time to time by NCDEX or Forward Markets Commission and such position limits will be calculated in accordance with the contents of above stated circular of NCDEX as modified from time to time.

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

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


C. DECLARATION

The Terms and Conditions pertaining to the Commodities Trading Account with IICL which are in force now, have been read by me/us. I/We understood the same and I/We agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes there in immediately in writing.

I/We have read and understood Schedule of Charges and agree that my/our opening of the Trading Account with IICL is subject to the payment of these charges. I/We agree that the charges as stated herein may be modified/ revised and I/We agree to pay the charges including any modification/revision thereto from time to time.

I/We hereby agree to provide details to IICL from time to time to comply with the guidelines of Prevention of Money Laundering Act. I/We hereby confirm that I/We am/are the beneficial owner of the Trading account opened with India Infoline Commodities Ltd.

I/We have not withheld any information. I/We confirm that I/We have had no insolvency initiated against me/us nor have I/We ever been adjudicated insolvent. I/We have read the application form and brochures and am/are aware of all the terms and conditions of availing the said services from India Infoline Commodities Ltd. I/We authorise India Infoline Commodities Ltd., any other Group Company or their agents to make reference and enquiries relating to the information in this application which may be considered necessary by them. I/We undertake to inform immediately India Infoline Commodities Ltd., any other Group Company and their agents regarding changes in my/our residence/employment and to provide any such further information as they may require. I/We agree that my/our execution of any order shall be governed by and be subject to the terms provided in this Agreement and the Terms and Conditions as may be directed from time to time. India Infoline Commodities Ltd. reserves the right to reject any order/ instructions/ declaration without providing reason for it whatsoever.

	NAME	SIGNATURE
Client Applicant		

TARIFF SHEET
SCHEDULE OF BROKERAGE AND OTHER CHARGES

Onetime Registration Fee
A/c opening charge - Rs. 500*
*500/- to be reversed against brokerage within 30 days of account opening.

Product	MCX	NCDEX
	Transaction Charges	Transaction Charges
Agri	Rs. 0.75 Per Lac	Rs. 1.95 Per Lac
Non Agri	Rs.2.1 Per Lac	Rs. 0.4 Per Lac


India Infoline Commodities Account		
Brokerage	Standard Brokerage	Quoted Brokerage
First Leg	0.05%	
Square Off	0.05%	
Minimum per unit	Rs. 0.05	
Delivery Normal settlement	0.25%	

Remark : _____


Notes :

- All customers will get Digital Contract Notes. Physical contract notes provided on request.
- Charges/ service standards are subject to revision at sole discretion of India Infoline Commodities Ltd. and as informed by circulars sent by ordinary post/ e-mail.
- Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
- In case of Customer opting for Physical Documents options for receiving any Documents, Document handling charge of Rs.25/- per dispatch will be levied. This charge may be partly/ fully waived off for high networth/large Customer at the discretion of IICL.
- Management reserves the right to freeze, discontinue or suspend any account if required.
- VAT & Other regulatory charges would be charged on the basis of applicable tax rate.

I/ We have understood and accepted the Schedule of Charges as stated here in above.

	NAME	SIGNATURE
Client Applicant		

Branch Official Name: _____

 Branch Official Signature: 

AUTHORISATION FOR RECEIPT OF ELECTRONIC CONTRACT NOTES (ECN) FOR MCX & NCDEX


To,
INDIA INFOLINE COMMODITIES LIMITED
 (Member of MCX & NCDEX)
 143, MGR Road, Perungudi, Chennai,
 Tamil Nadu - 600 096, India

Dear Sir,

I/We, client with Member India Infoline Commodities Limited of Multi-Commodity Exchange & National Commodity and Derivatives Exchange undertake as follows:

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

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

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	

A. SMS ALERTS FOR COMMODITY EXCHANGES Yes No

Date:

To,
M/s. India Infoline Commodities Limited,
143, M G R Road, Perungudi, Chennai - 600 096

Subjects: Undertaking for Services by way of SMS alerts for Trading Calls on Mobile/ Cellular/ Land lines Phones.

Dear Sir,

I/We are having a trading account with India Infoline Commodities Limited. for the purpose of trading on MCX/ NCDEX/ NSEL/ N-Spot as per the client agreement executed.

I/We have registered the Mobile No. for receiving SMS alerts in respect of various services being offered by you including Trading Calls.

In respect of Investment/ Trading/ Advisory Services received from the member:-

I/We undertake to the trading member and confirm to use our own judgement in taking a call on the said Investments/ Trading Calls.

I/We also undertake to the Trading Member and confirmed that I/We execute trades in the identified commodities according to my/our financial strength/ capability.

I/We declare and agree that the trading member shall not be responsible for any loss suffered by me on account of executing or omitting to execute any trades in pursuance of the SMS alerts(s) and/ or investment advises sent by the trading member.

I/We shall not have any claim what so ever against the trading member in respect of the above mentioned acts or omissions.

B. RUNNING ACCOUNT AUTHORISATION Yes No**Authorisation to maintain my account as a Running Account****Authorisation to IICL**

- a) I would like to keep commodities purchased by me with you as collateral for giving me exposure limits in my trading account/margin obligation. I authorize you not to transfer commodities purchased by me to my demat beneficiary account and keep them with yourselves. I also authorise you to pledge these commodities/deliveries/ funds with the Clearing Member Exchange/Custodian/ clearing house/ clearing corporation, at your discretion. In case any of the commodities are sold in subsequent settlements, you may take this as a standing instruction to adjust against my previous purchase positions.
- b) Whenever I require delivery of any commodities, I shall send you a written request. I understand that such payout of commodities will be made subject to your risk management policies.
- c) In case there is a debit balance in my account, you are authorized to sell at any point of time the securities/commodities purchased by me/ held by me in previous settlements, at your sole discretion. Any profit or loss made on such transactions will be to my account as it would have occurred on normal purchase/ sale made by me. I also agree to pay the balance amount, if any after deducting credit of sale of commodities.
- d) I also request you not to issue cheques/make payments settlement wise unless specifically demanded by me, as pay-in and payout are very close and therefore exchange of cheque becomes unnecessary paper work.
- e) I further authorise you to set off/ adjust any of my debits/dues in any segment of any Exchange with credits of any other segment(s) of any Exchange(s) in my account within the period of settlement of my account.
- f) I/We understand and agreed that any credit amount lying with you will not attract any interest.
- g) I/We agree an authorise you to debit charges for depositories services and any other incidental charges to my/ our running account.
- h) I also note that I may revoke the authorisation at any time by giving you written notice atleast seven days in advance to your office. I also undertake to clear all my dues to the member before serving revocation of this authorisation else the member will recover all my dues in my ledger till date and then effect the revocation.
- i) Furthermore, you may charge the cost of holding commodities to my/ our trading account with you. So kindly maintain my account as a running account basis for funds and commodities.

C. AUTHORISATION TO SEND PASSWORD BY SMS Yes No

Please send my system-generated, internet account first time as well as subsequent, Password on my following mobile number.

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Also, if I ever need to reset the Password later, the same should also be sent by SMS on the above given mobile number.

As soon as I receive the system-generated Password, I shall login and change it for security reasons. I am aware that system-generated Password will automatically expire in 72 hours from the time of sending. I have been explained that I shall set my new Password as may be easy to remember for me, but should not be easy to decipher for anybody else and should be preferably alpha-numeric and not my or any family member's name/ surname. I also confirm that the above mobile number shall be updated in all your records and databases including trading and demat account.

1. I declare that the above is my personal mobile number and is always in my safe custody. I shall keep IICL informed of any change in my mobile number immediately for updating the same in databases. I am aware that without intimation for change in mobile number, IICL would not be able to send my Password over new mobile number and also would not be able to update in records and databases.
2. In the event that I do not receive the Password on SMS within 24 hours of opening of account or request for reset of Password, I shall contact the Customer Service Department of the IICL immediately and request for re-setting of my Password.
3. I am fully aware of the risk of electronic loss/ theft and agree to be solely liable and responsible for the same as well as for any unauthorized use/ misuse of the Password. I understand IICL will not be responsible or liable in any manner whatsoever for the same.
4. I am aware that in case of change in my mobile number anytime after opening of this account, it is mandatory for me to submit the photocopy of a latest/last two months Mobile bill for postpaid connection. If I have prepaid connection then I have to visit personally to the Branch/FANs alongwith my ID proofs (E.g.: Pan Card or Driving License) and get the documents verified by the branch officials.

D. FORM FOR REGISTRATION AND VERIFICATION OF MOBILE NUMBER AND EMAIL ADDRESS Yes No

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

I want to receive transaction alerts in SMS as well as Email from NCDEX/MCX/NSEL.

I want to receive transaction alerts only in SMS from NCDEX/MCX.

I want to receive transaction alerts only in Email from NCDEX/MCX.

I do not want to receive any transaction alerts from NCDEX/MCX, specify reason _____

The alerts should be sent on:

Mobile number (enter 10 digit mobile no):

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Email Id _____

We/I agree to the terms and condition specified by the Exchange in its circular no. NCDEX/COMPLIANCE-007/2012/093 as modified from time to time. We/I are/am aware that the receipt of SMS/Email alerts on the above mobile number and/or email address can be stopped only on our/my written request.

DECLARATION

- i. I am aware that the mobile number shall be updated in all your records and databases including trading.
- ii. I declare that the above is my personal mobile number and is always in my safe custody. I shall keep IIFL informed of any change in my mobile number immediately for updating the same in databases. I am aware that without intimation for change in mobile number, IIFL would not be able to send my Password over new mobile number and also would not be able to update in records and databases.
- iii. I am aware that in case of change in my mobile number anytime after opening of this account, it is mandatory for me to submit the photocopy of a latest/last two months Mobile bill for postpaid connection. If I have prepaid connection then I have to visit personally to the Branch/FANs alongwith my ID proofs (E.g.: Pan Card or Driving License) and get the documents verified by the branch officials.

- iv. I will be solely responsible for the security of the information provided on my aforesaid mobile number. Further, I agree and undertake to indemnify IIFL and its group companies, that they will not be held liable/responsible for any losses, claims, damages, cost and liabilities etc. caused to me due to misuse of this information or pursuant to any litigations, non-litigation cases, complaints, actions, etc. that may arise in future on account of my above authorization request.
- v. I/We confirm having received a hard copy of the following documents and further confirm having read and understood the contents of these documents.
- Annexure A for client and commodity broker for the purpose of trading on the Multi Commodity Exchange (MCX) and National Commodity and Derivatives Exchange (NCDEX).

	NAME	SIGNATURE
Client Applicant		

Place : _____ Date : _____

For Branches and Locations of India Infoline Limited please visit our
website: www.indiainfoline.com



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Member: BSE, NSE & MCX-SX (Cash, F&O & Currency Derivatives) SEBI Regn. No: BSE (Cash) INB 011097533, BSE (F&O) INF 011097533, NSE (Cash) INB 231097537, NSE (F&O) INF 231097537, NSE (CDS) INE 231097537, MCX-SX (CASH) INB261097530, MCX-SX (F&O) INF261097530, MCX-SX (CDS) - INE261097537, USESEBI Registration (Currency Derivatives) INE 271097532, Portfolio Management Service INP 000002213, Merchant Banking INM 000010940, Depository: CDSL SEBI Registration No: IN DP CDSL 352 2006 (DP ID: 12044700); NSDL SEBI Registration No: IN DP NSDL 185 2000 (DP ID: IN302269)

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