

No. _____

Client Name _____

Client Code _____

R. M. Name _____

R. M. Code _____

Dealer Name _____

Dealer Code _____

Demat A/C No. _____

Terminal Code _____

Trust is what we stand for,
Growth is what we strive for.

ACCOUNT OPENING FORM - NON INDIVIDUAL



IndiaNivesh[®]

TRUST, WE EARN IT

IndiaNivesh Commodities Private Limited

For any grievance/dispute please contact member IndiaNivesh Commodities Pvt. Ltd. at the above or email id-grievances@indianivesh.in Tel.: 91 - 22 62406240 in case not satisfied with the response, please contact the concerned exchange(s) at MCX : grievance@mcxindia.com, Tel.:91-22 67494070 NCDEX: askus@ncdex.in, Tel.: 91-022 66406084 ICEX: grievance@icexindia.com, Tel.: 91-022 40381546

In case you are not satisfied with the response, please register his grievance directly through SEBI's grievance portal score <http://scores.gov.in/Complaint.aspx?flag=n>
 SEBIHELPLINE NO:- 180027575 & 18002667575

IndiaNivesh Commodities Private Limited is engaged in client based business and proprietary trading as well. This disclosure is made in pursuance of SEBI circular dated 25th April 2016

Sr. No.	Name of the Document	Brief Signification of the Document	Page No
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		Part II Other Information	
2	Tariff sheet	Document detailing the rate / amount of brokerage and the charges levied on the client for trading on the commodities Exchange (for be added by the member).	5-10
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6		Guidance Note - Do's and Don'ts for the Investors	**
7		Policy And Procedure Documents	**
VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER*			
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** Separately provided to client and available on website

Dear Investor/s

We thank you for choosing IndiaNivesh Commodities Private Limited, for all your Investment needs. We value your decision and assure you that we will strive to assist you in best possible manner for all your investment related needs.

"We enclose herewith "KYC" (Know Your Client) form along with Annexures for your execution for opening of your trading and Demat accounts with us. We would urge to you go through the contents of Annexure - 2 (Risk Disclosure Document), Annexure - 3 (Rights & obligations) & Annexure - 4 (Do's and Don'ts) carefully, before executing the form."

We would request you to provide us with your email address and mobile number in the KYC. The email address is required so that your accounts and trade information can be sent to you electronically. We would send you a Welcome letter activation of your account through email and a hard copy of KYC form will be sent to you through courier.

We request the Online trading clients to keep the password confidential. We thank you once again.

Yours faithfully
On Behalf of **INCPL Team**

Acknowledgement Slip

To,
IndiaNivesh Commodities Private Limited
Mumbai

Dear Sir/ Madam,

I / We acknowledge the receipt all the mandatory documents containing Rights and Obligations Documents (Trading)/ Uniform Risk Disclosure Document (RDD) / Guidance note - Do's and Don'ts for Investors/ Policy and Procedure documents and also received Copy of KYC form (along with Tariff Sheet & Other Voluntary Documents).

I am also aware of availability of above document on your website www.indianivesh.in



(1/13)

Signature of the Client

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Please fill in ENGLISH and in BLOCK LETTERS with black ink

A. Identity Details (please see guidelines overleaf)

- 1. Name of Applicant** (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

2. Date of Incorporation | d | d | / | m | m | / | y | y | y | y | Place of Incorporation |

Registration No. (e.g. CIN) _____ Date of commencement of business dd / mm / yy

- 3. Registration No. (e.g. CIN)** | | | | | | | | | **Date of commencement of business** d | d / m | m / y | y | y | y

Status Please tick (✓) ☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust / Charities / NGOs

- 4. Status** Please tick (✓) ☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust / Charities / NGOs

☐ FI ☐ FII ☐ HUF ☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government Organisation
☐ Defence Establishment ☐ Body of Individuals ☐ Society ☐ LLP ☐ Others (Please specify)

(In case foreign entity or entity with foreign shareholders, self certified copy of statutory approval must be attached.)

5. Permanent Account Number (PAN) (MANDATORY) | | | | | | | | | | Please enclose a duly attested copy of your PAN Card

Address Details (please see guidelines overleaf)

B. Address Details (please see guidelines overleaf)

- ### 1. Address for Correspondence

City / Town / Village		Country		Postal Code	
State					

- ## 2. Contact Details

[illegible]

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
☐ Any other proof of address document (as listed overleaf) (Please specify)

*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** d d / m m / y y y y

4. Registered Address (If different from above)

[illegible]

- ## 5.Contact Details

[illegible]

6. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
☐ Any other proof of address document (as listed overleaf) (Please specify)

*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** | d | d | / | m | m | / | y | y | y | y

DECLARATION

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

**NAME & SIGNATURE(S)
OF AUTHORISED
PERSON(S)**

(2/13)

Place: _____

Date: _____

FOR OFFICE USE ONLY

AMC/Intermediary name **OR** code

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

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
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 / Foreign, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor or photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

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

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of

Residence/Driving License/Flat Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.
7. **Proof of address must be different from the proof of Identity**

D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCI, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

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	• Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year) • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations • Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly • Copies of the Memorandum and Articles of Association and certificate of incorporation • Copy of the Board Resolution for investment in commodity market • Authorised signatories list with specimen signatures & board resolution on Letter Head.
Partnership firm	• Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Certificate of registration (for registered partnership firms only) • Copy of partnership deed • Authorised signatories list with specimen signatures • Photograph, POI, POA, PAN of Partners
Trust	• 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	• 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	• Self-certification on letterhead • Authorised signatories list with specimen signatures
Registered Society	• Copy of Registration Certificate under Societies Registration Act • List of Managing Committee members • Committee resolution for persons authorised to act as authorised signatories with specimen signatures • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

Please Submit the KYC Documents on A4 Size Paper Only.

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

Name of Applicant _____ PAN of the Applicant _____

Sr. No.	PAN	Name	DIN (For Directors) / UID (For Others)	Residential / Registered Address	Designation	Whether Politically Exposed	Photograph
						☐ PEP ☐ RPEP ☐ NO	PHOTOGRAPH Please affix the recent passport size photograph and sign across it  (3/13)
						☐ PEP ☐ RPEP ☐ NO	PHOTOGRAPH Please affix the recent passport size photograph and sign across it  (3/13)
						☐ PEP ☐ RPEP ☐ NO	PHOTOGRAPH Please affix the recent passport size photograph and sign across it  (3/13)
						☐ PEP ☐ RPEP ☐ NO	PHOTOGRAPH Please affix the recent passport size photograph and sign across it  (3/13)
						☐ PEP ☐ RPEP ☐ NO	PHOTOGRAPH Please affix the recent passport size photograph and sign across it  (3/13)

 (4/13)

Name & Signature of the Authorised Signatory(ies)

Date / /



PEP: Politically Exposed Person RPEP: Related to Politically Exposed Person

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OTHER DETAILS (please see guidelines overleaf)

1. **Gross Annual Income Details** Please tick (✓): ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25 Lacs-1 Crore ☐ > 1 Crore

2. **Net-worth in ₹.** (*Net worth should not be older than 1 year) _____ as on (date) / /

3. **Name, PAN, DIN/UID, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors**
(Please use the Annexure to fill in the details)

4. **Occupation** (please tick any one and give brief details):

- ☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Farmer
☐ Others (Specify)

5 **Please tick, as applicable:**

(for any of your authorised signatories / promoters / partners / karta / trustees / wholetime directors)

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

6 **Is the entity involved/providing any of the following services** ☐ YES ☐ NO

- For Foreign Exchange / Money Changer Services ☐ YES ☐ NO - Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) ☐ YES ☐ NO
- Money Lending / Pawning ☐ YES ☐ NO

DEMAT / COMTRACK ACCOUNT DETAILS :

Depository Details :		☐ CDSL ☐ NSDL ☐ COMTRACK ☐ COMRIS ☐ CCRL															
DP Name	DP ID	Client ID												Default ID			

BANK ACCOUNT(S) DETAILS

Bank Name	Bank Branch	Bank A/c No.	A/c Type SB/ CA / Others	MICR No.	IFSC Code											

Note : Please provide the above details with care as the same shall be used for Payment through NEFT / RTGS

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the Client and not more than 6 months old, (or)
(iii) Photocopy of the Passbook having name and address of the Client, (or) (iv) Letter from the Bank.

In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it should be self-certified by the Client.

TRADING PREFERENCE:

*Please sign in the relevant boxes where you wish to trade.

The exchange not chosen should be struck off by the client

EXCHANGE	SIGNATURE
MCX FUTURE	 (5/13)
MCX OPTION	 (5/13)
NCDEX FUTURE	 (5/13)
NCDEX OPTION	 (5/13)
ICEX FUTURE	 (5/13)

(The Client would be allowed to trade in the exchanges / segments chosen by him / her subject to submission of all the required supporting documents and meeting the eligibility criteria.

(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.)

INVESTMENTS/TRADING EXPERIENCE

- NO PRIOR EXPERIENCE
- _____ YEAR IN COMMODITIES • _____ YEAR IN OTHER EXCHANGE RELATED FIELDS

GST DETAILS

State Regn. No. _____ Central Regn. No. _____

PAST ACTIONS

Details of any action / proceedings initiated / pending / taken by SEBI / Stock Exchange /Commodity Exchange any other authority against the client or its partners / promoters / Wholetime Director/authorised person in charge of dealing in Commodities during the last three years. [Pl. specify in the col. Below]

DEALING THROUGH OTHER MEMBERS

If client is dealing through the other Member , provide the following details(In case dealing with multiple Members provide details of all.):

[illegible]

Exchange's Registration Number

--	--	--	--	--	--	--	--	--	--	--	--	--	--

 Client Code, if registered with other broker _____

Concerned Member's Name with whom the AP is registered

Regd. Office Address	
----------------------	--

[illegible][illegible]

INTRODUCERS DETAILS (OPTIONAL)

Introduced By ☐ Authorized Person ☐ Existing Client ☐ Others

[illegible]

LAST NAME

PERMANENT ADDRESS:

A horizontal number line with 20 tick marks, labeled from 0 to 19. The line is used for plotting data points.

CITY : PIN CODE :

[illegible][illegible]

Introducer ID Proof No. _____

Signature of Introducer

N. ADDITIONAL DETAILS

Whether you wish to receive communication from Member in electronic form on your Email ID-Yes/No
(If yes please fill in Appendix A)

Whether you wish to avail of the facility of Internet Trading / Wireless Technology (Please Specify) _____

Internet Trading ☐ Wireless Technology ☐ If yes provide your Mobile no. _____

FOR OFFICE USE ONLY

UCC Code Alloted to the Client			
	Documents verified with Original	Client Interviewed by	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of Employee			
Date			
Signature			

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

Signature of intermediary
Date : / /



For IndiaNivesh Commodities Private Limited
Director / Authorised Signatory



Seal / Stamp of the Stock Broker

INSTRUCTIONS / CHECK L IST

1. Additional documents to be provided	
Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets	Self declaration with relevant supporting documents.

- * In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.
- Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the client, MICR Code or/and IFSC Code of the bank should be submitted.
 - For individuals:
 - Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
 - For non-individuals:
 - Form need to be initialized by all the authorized signatories.
 - Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

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TARIFF SHEET

BROKERAGE STRUCTURE : General Rates

	Minimum Rs.**	Trading		Delivery	
		Percent		Minimum Rs.	Percent 2nd side
		1st side	2nd Side		
MCX FUTURE					
MCX OPTION					
NCDEX FUTURE					
NCDEX OPTION					
ICEX FUTURE					

OTHER CHARGES

COMMODITIES TRANSACTION TAX	☒ Yes ☐ No	STAMP DUTY	☒ Yes ☐ No
STATUTORY COST	☒ Yes ☐ No	TURNOVER TAX	☒ Yes ☐ No
STATE GST	☒ Yes ☐ No	CENTRAL GST	☒ Yes ☐ No

The above rates are exclusive of transaction charge, Stamp Duty, Securities Transaction Tax, Turnover fees, Grading and warehousing charges (on actual basis), State GST, Central GST on transaction charges and turnover fees levied by exchange /SEBI and State GST, Central GST on brokerage which will be charged extra at the rate prevailing from time to time. The General rates as mentioned here shall be applied unless the special rates as may be agreed by the sub-broker/Authorised Person/Introducer and client and the same are mentioned here.

- * Duplicate Contract Note Charges for physical copies Rs. 50/- per copy
- * Software Charges for IBT Client s Rs.1000+Taxes per segment p.a.
- * Clearing charges charged by clearing member will be charged on actual basis.
- * IndiaNivesh reserve the rights to change the brokerage as well as other tariff from time to time under intimation to client.
- ** For clients opting for physical contract note, or clients who has opted for ECN but subsequently shifted to physical contract note due to bouncing of ECN, minimum brokerage of Rs. 50/- will be charged subject to upper cap of highest rate of brokerage allowed by regulator from time to time.

For IndiaNivesh Commodities Private Limited

 (6/13)

Client's Signature

Authorised Person / Introducer

Authorised Sign / Director

DECLARATION

- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
- I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non-mandatory documents.
- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Do's and Don'ts'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on member's designated website.
- I/we intend to trade in Commodity Options contract subject to regulatory requirements of the Exchange and SEBI from time to time.

For IndiaNivesh Commodities Private Limited

 (7/13)

Client's Signature

Authorised Person / Introducer

Authorised Sign / Director

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FATCA/CRS Self Declaration Form

IndiaNivesh Commodities Private Limited
Lodha Supremus, 17th Floor, Senapati Bapat Marg,
Lower Parel (West), Mumbai – 400 013
Tel.: +91 22 6240 6240 | Fax: +91 22 6240 6241

I/we hereby declare that

Part I

A.	Is the account holder a Government body/International Organization/listed company on recognized stock exchange	Yes/ No
	If “No”, then proceed to point B	
	If “yes” please specify name of stock exchange, if you are listed company and proceed to sign the declaration	
B.	Is the account holder a (Entity/Financial Institution) tax resident of any country other than India	Yes/ No
	If “yes”, then please fill of FATCA/ CRS Self certification Form If “No”, proceed to point C	
C.	Is the account holder an Indian Financial Institution	Yes/ No
	If “yes”, please provide your GIIN, if any	
	If “No”, proceed to point D	
D.	Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen	Yes/ No
	If “yes”, (then please fill FATCA/ CRS self-certification form). If “No”, proceed to sign the declaration	

Customer Declaration

() Under penalty of perjury, I/we certify that:

1. The applicant is:
 - (i) An applicant taxable as a US person under the laws of the United States of America (“U.S.”) or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S.,
 - (ii) An estate the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person)
2. The applicant is an applicant taxable as a tax resident under the laws of country outside India.
 - (ii) I/We understand that the IndiaNivesh Commodities Private Limited (INCPL) is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The IndiaNivesh Commodities Private Limited (INCPL) is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
 - (iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
 - (iv) I/We agree that as may be required by domestic regulators/tax authorities the IndiaNivesh Commodities Private Limited (INCPL) may also be required to report, reportable details to CBDT or close or suspend my account.
 - (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature (as per MOP)	 (8/13)
Names and designation of Signatories	
Name of Account Holder	
Date	
PAN Number of Account Holder	

Part II
Self-Certification Form (Entity) for Foreign Account Tax Compliance Act (“FATCA”) and
Common Reporting Standards (CRS)

Section 1: Entity information

Name of Entity	
Customer id (if existing)	
Entity Constitution Type	☐ A- Sole Proprietorship ☐ B-Partnership Firm ☐ C-HUP ☐ D-Private Limited Company ☐ E-Public Limited Company ☐ F-Society ☐ G-AOP/BOI ☐ H-Trust ☐ I-Liquidator ☐ J-Limited Liability Partnership ☐ k- Artificial Juridical Person ☐ z-Others ☐ x-Not Categorised
Entity Identification type	☐ T-TIN ☐ C-Company Identification Number ☐ G-USGIIN ☐ E-Global Entity Identification Number (EIN) ☐ O-Other
Entity Identification No (based on entity identification type)	
Entity Identification issuing country	
Country of Residence for tax purpose	

Section 2: Classification of Non-Financial entities I/We (on behalf of the entity) certify that the entity is:

a) An entity incorporated and taxable in US (Specified US person)	Yes/No
If “Yes”, please provide your U.S. Taxpayer Identification Number (TIN)	
b) An entity incorporated and taxable outside of India (other than US)	Yes/No
If “Yes”, please provide your TIN or its functional equivalent	
Provide your TIN issuing country	
Please provide the following additional details if you are not a Specified US Person	
FATCA / CRS classification for Non-financial entities (NFFE)	
Active NFFE	Yes/No
Passive NFFE without any controlling Person	Yes/No
Passive NFFE with Controlling Person(s)	US/ Others
Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus IndiaNivesh Commodities Private Limited (INCPL) is not required to do the reporting)	Yes/No
Please provide GIIN number	

Section 3: Classification of financial institutions (including Banks) I/We (on behalf of the entity) certify that the entity is

a. An entity is a U.S. financial institution	Yes/No
If “Yes”, (i) Please provide your Taxpayer Identification Number (TIN)	
Please provide GIIN, if any	
If “No”, please tick one of the following boxes below:	
FATCA classification	Please provide the Global Intermediary Identification number (GIIN) or other information where
Reporting Foreign Financial Institution in a Model 1 applicable Inter-Governmental Agreement (“IGA”) Jurisdiction	
Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction	
Participating FFI in a Non-IGA Jurisdiction	
Non-reporting FI	
Non-Participating FI	
Owner-Documented FI with specified US owners	

Section 4: Controlling person declaration

If you are classified as “Passive NFFE with Controlling Person(s)” or “Owner documented FFI” or “Specified US person”, please provide the following details:

Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing Country	Controlling person Type

Details	Controlling person 1	Controlling person 2	Controlling person 3	Controlling person 4	Controlling person 5
Identification					
Type (Refer Appendix 2)					
Identification Number					
Occupation Type (Refer Appendix 2)					
Occupation					
Birth Date					
Nationality					
Country of Birth					

Section 5: Declaration

(i) Under penalty of perjury, I/we certify that:

1. The number shown on this form is the correct taxpayer identification number of the applicant, and
2. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof, or
3. The applicant Is an applicant taxable as a tax resident under the laws of country outside India.
 - (ii) I/We understand that the IndiaNivesh Commodities Private Limited (INCPL) is relying on this information for the purpose of determining the status of the applicant named above in compliance with CRS/FATCA. The IndiaNivesh Commodities Private Limited (INCPL) is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
 - (iii) I/We agree to submit a new form within 30 days if any information or certification on this form gets changed.
 - (iv) I/ We agree as may be required by /Regulatory authorities, IndiaNivesh Commodities Private Limited (INCPL) shall be required to comply to report, reportable details to CBDT or close or suspend my account.
 - (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.

I/We hereby confirm that details provided are accurate, correct and complete

Signature (as per MOP)	 (9/13)
Names and designation of Signatories	
Name of Account Holder	
Date	
PAN Number of Account Holder (Company Seal, if applicable, to be affixed)	

RUNNING ACCOUNT LETTER

IndiaNivesh Commodities Private Limited

Lodha Supremus, 17th Floor, Senapati Bapat Marg,
Lower Parel (West), Mumbai – 400 013

Date: _____

Dear Sir,

Sub.: Authorization for maintaining account on running account basis

1. I/We hereby authorize you to maintain my account with you on a running account basis for the purpose of operational convenience.
2. Please settle my running account on Quarterly /monthly basis.
3. I/We understand that while settling my accounts member can retain necessary funds to meet my/our pay-in or margin obligation for my/our open position/bill. Member can also retain 125% of margin requirement or any other amount as specified by regulatory from time to time as additional margin in anticipation of next 5 days margin requirement.
4. If my/our securities are lying with Trading member/clearing member on the date of settlement the same will be returned to client within three working days from date of settlement.
5. The said authority can be revoked by me any time by giving a written intimation to this effect to the registered office of the member.
6. However the such revocation shall be effective prospectively from the date of its receipt and shall not effect the rights of the broker to take necessary actions under this authorization with respect to the outstanding obligations of already executed transaction till the date of receipt of the revocation intimation.
7. I/We Authorized you to keep the funds & securities with you if the value of funds & securities refundable to me is less than Rs.10,000/- or any other amount as specified by regulatory time to time for any settlement period.

Thanking you,

Yours faithfully,

Name of the Client: _____

Signature:  (10/13) _____

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To,
IndiaNivesh Commodities Private Limited
Lodha Supremus, 17th Floor, Senapati Bapat Marg,
Lower Parel (West), Mumbai – 400 013

Dear Sir,

I, _____
a client with Member M/s. IndiaNivesh Commodities Private Limited of Multi Commodity Exchange of India Limited & National Commodity & Derivatives Exchange Limited & Indian Commodity Exchange Limited.

Exchange undertake as follows:

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

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

Client Name : _____

Unique Client Code : _____

PAN : _____

Address : _____



(11/13) _____

Signature of the client

Date :

Place :

Verification of the client signature done by,
Name of the designated officer of the Member
Signature

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To

IndiaNivesh Commodities Pvt. Ltd.

1702, Lodha Supremus, 17th Floor, Senapati Bapat Marg,
Lower Parel (West), Mumbai – 400 013
Tel.: +91 22 6240 6240 | Fax: +91 22 6240 6241
(hereinafter referred as IndiaNivcsh)

I/We hereby undertake that I/we shall when called upon to do so by Multi Commodity Exchange of India Limited / National Commodities & Derivatives Exchange Limited / Indian Commodity Exchange Limited., by way of their circulars / notifications, as and when required, from time to time, provide a margin deposit and/or additional/adhoc margin money as may be required in respect of business done for me/us by IndiaNivesh Commodities Pvt. Ltd. Through Multi Commodity Exchange of India Limited / National Commodities & Derivatives Exchange Limited / Indian Commodity Exchange Limited.)

Signature of the Constituent*



(12/13)

Place :

Date :

* Use rubber stamp for proprietor/partnership/corporate

Voluntary Documents
(Mobile Trading / Internet Base Trading Activation Request)

To
IndiaNivesh Commodities Private Limited
Lodha Supremus, 17th Floor, Senapati Bapat Marg,
Lower Parel (West), Mumbai – 400 013

Date :- _____

Subject – Activation of Mobile Trading / Internet Base Trading facility.

Dear Sir/Madam,

With reference to captioned subject I request you to activate below mentioned trading facility for my account in respective segment(s).

Trading Facility

☐ Mobile Trading ☐ Internet Trading

Trading Preference

☐ NCDEX ☐ MCX ☐ ICEX

I have read and understood the risk and safety measures listed below and terms in rights and obligation documents under head

“INTERNET AND WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY COMMODITY BROKER TO CLIENT” provided with copy of account opening form and agree to adhere to them.

- I understand that password generation/reset and communication process is automatically done by the system at the request of client without manual intervention by trading member. The same is communicated to client on their registered email address and Mobile Trading number.
- I understand that communication of Mobile Trading / Internet Base Trading username & password in secured manner will be done through my registered Mobile Trading & mail ID so I will be responsible for any loss / damage occurred due to any reason whatsoever, including but not limited to trading and non-delivery of the same because of “Do Not Disturb” (DND) facility activate on my Mobile Trading No. My email address is _____ and Mobile Trading number is _____. I understand that you shall provide information with respect to the addresses of Internet web site/web page where detailed information would be available about securities trading done through the use of wireless technology.
- I understand that Mobile Trading / Internet Base Trading login ID and password communicated to me will be kept confidential and will not be disclose to anyone.
- I understand that password confidentiality is most important to prevent any unauthorized use to Mobile Trading / Internet Base Trading facility. So I will also responsible to keep such information secrete & confidential.
- I will not left device used for wireless trading in logged in status or (for mail or Mobile Trading / Internet Base Trading facility) unattended and will not disclose my email login ID and password to anybody.
- I understand that online transaction systems are vulnerable to various threats like hacking of accounts/ password etc. In case my account information get leaked or not received by me due to any reason whatsoever mentioned above, I will take immediate action to prevent further transaction. I will not hold trading member responsible for any loss or damaged caused by such events. I am aware that trading over internet involves many uncertain factors and complex hardware, software systems, communication lines, peripherals, etc. which are susceptible to interruptions and dislocations; and it is possible that the INCPL may become unavailable without notice. I also agree that the INCPL and the Exchange do not make any representation nor warranty that the Mobile Trading / IBT Service will be available to me at all times without any interruption. I agrees that I shall not have any claim against the Exchange and INCPL on account of any suspension, interruption, non-availability or malfunctioning of the INCPL System or Service or the Exchange’s service or systems for any reason whatsoever.
- I understand & acknowledge all the risks, responsibilities and liabilities associated with securities trading using wireless technology.
- I shall immediately inform **IndiaNivesh Commodities Pvt. Ltd. (INCPL)** in the following case:
 - a. discovers any flaw in the INCPL Mobile Trading/ IBT security system
 - b. discovers or suspects unauthorized access through his Mobile Trading/ IBT account
 - c. notices any discrepancies in use of Mobile Trading/ IBT account allotted.

- d. I does not, on the same day as the receipt or execution of an order by the INCPL, receive a message from the INCPL indicating that the order has been received or executed; I does not receive an accurate written confirmation of an execution; or receives confirmation of an order and/or execution which I did not place; or receives inaccurate information about his account balances or positions taken or transaction history along with all the particulars including the date, manner of use, the transactions effected, etc.
- In any of the above events, the INCPL will suspend trading through wireless technology and allot new user name, password or User identification Number or other identification or security code to me to secure the authenticity of the orders placed by me through my Mobile Trading/ IBT account on the Member's web site after resolution of matter.
 - I agree and undertake to immediately deposit with the INCPL such cash, securities of other acceptable security, which the INCPL may require as margin. The INCPL is entitled to require to keep permanently with him a margin of a specified value as long as the I desires to avail the facility of trading through Mobile Trading/ IBT system.
 - I understand and acknowledges that an instruction to modify or cancel an order placed on the trading system of the Exchange may not be carried out if a. the order was executed before such instruction was received by the INCPL Mobile Trading / IBT System or b. it was executed within a short time thereafter, which turns out to be insufficient for the INCPL Mobile Trading / IBT System to place a corresponding instruction in the Exchange's trading system prior to its execution
 - I understand that you shall send an online confirmation to me on my Mobile Trading/ IBT account upon the execution or cancellation of order placed by me using the Mobile Trading/ IBT service.
 - I understand that this activation form is supplemental to and does not supersede the Client registration document. Save and except as modified expressly or by implication by this document. I shall apply to transactions done through Mobile Trading/IBT system also.
 - I understand and shall abide by the Exchange requirements and the terms of the Mobile Trading / IBT service provided by the INCPL, in force from time to time.
 - I agree that INCPL will not be liable for losses caused directly or indirectly by government restriction, Exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, war, natural calamities, accident, power failure, equipment or software malfunction, strikes or other conditions beyond the INCPL control.
 - I understand & agrees that the INCPL may at any time discontinue this Mobile Trading/ IBT facility by giving not less than 15 days notice. I may also at any time terminate this Mobile Trading/ IBT facility by not less than 15 days notice to the INCPL, provided that unless the INCPL otherwise permits, the constituent shall not be entitled to terminate this Mobile Trading/ IBT facility so long as any amount is payable by me to the INCPL.
 - I understand and acknowledge in the event of any provisions of this document being held to be or becoming invalid, unenforceable or illegal or any reason, this document shall remain otherwise in full force apart from the said provisions which will be deemed deleted.
 - I understand & agree that no forbearance, relaxation or inaction by INCPL at any time to require the performance of that or any other provision of this documentation or be considered to be a waiver of any right, unless specifically agreed in writing
 - I understand that you shall send the Order/Trade confirmation details on our existing E-mail id registered with IndiaNivesh Commodities Private Limited, on execution of order/trade on the ITOR/NEAT system, as the case may be. I agree that the information sent by you on our E-mail id would be deemed to be a valid delivery of such information by you. The aforesaid information regarding order and trade confirmation shall also be provided to me/us on the device used for securities trading through the use of wireless technology.
 - I declare that all the information provided while applying for Mobile Trading/ IBT facility are true and correct and are not misleading and I am aware that the INCPL agreed to provide the facility of trading through Mobile Trading/ IBT system on the basis of such information.
 - I understand that Mobile Trading / Internet Base Trading facility require use of online trading software, I agree to bear the rental of software, I request to debit the same to my trading account on monthly / quarterly / half yearly / annually basis at Rs. _____ p.a
 - Other condition if any _____

Signature of Branch Manager / Regional Head

 (13/13)

Client's Signature

TRADING BOARD RESOLUTION IN CASE OF THE CORPORATE CLIENT

(On Companies Letterhead)

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED BY THE BOARD OF DIRECTORS OF THE COMPANY AT ITS MEETING HELD ON.....AT THE REGISTERED OFFICE OF THE COMPANY AT

Opening of Commodity Account with IndiaNivesh Commodities Private Limited

"RESOLVED THAT a Commodity Account of the Company be opened with IndiaNivesh Commodities Private Limited, a member of National Commodity & Derivatives Exchange Limited (NCDEX), Multi Commodity Exchange (MCX), Indian Commodity Exchange Limited (ICEX) and for the purpose of trading in the commodities derivatives & spot Market in NCDEX/MCX/ICEX and the said member be and is hereby authorized to honour instructions given on behalf of the Company.

RESOLVED FURTHER THAT Mr.....and Mr....., Directors of the Company be and are hereby jointly / severally authorized to sell, purchase, transfer, endorse, negotiate and/or otherwise deal in commodities on behalf of the Company.

RESOLVED FURTHER THAT the following Director of the Company, whose specimen signature is appended below is authorised singly to:-

1. place orders with IndiaNivesh Commodities Private Limited for buying and selling of commodity and derivatives contracts at NCDEX, MCX and ICEX as well as in Spot Market through telephone, voice-mail, e-mail, fax letter or other mode / means of communication as may be thought necessary from time to time for the aforesaid purpose,
2. sign, execute and deliver orders, instructions, letters, notes contracts, and such other documents as may be considered necessary from time to time for the aforesaid purpose,
3. make / receive payment on behalf of the Company, and
4. take all such actions and do all such things as may be deemed prudent, necessary and expedient for giving effect to the above resolution from time to time.
5. to trade in Commodity Options contract subject to regulatory requirements of the Exchange and SEBI from time to time.

Sr No.	Name of Authorised person	Designation	Specimen Signature
1		Director	
2		Director	

RESOLVED FURTHER THAT the above resolution shall remain effective and in force till such time as a fresh resolution cancelling or amending the same is passed by the Board of Directors of the Company and a copy thereof duly certified as true by any one of the Directors of the Company is furnished to IndiaNivesh Commodities Private Limited.

RESOLVED FURTHER THAT a copy of the above resolution duly certified as true by any one of the Directors of the Company be furnished to IndiaNivesh Commodities Private Limited and such other parties as may be required from time to time."

For.....

Director

AUTHORITY LETTER BY THE PARTNERSHIP FIRM

Date :

The Registration Department
IndiaNivesh Commodities Private Limited
Lodha Supremus, 17th Floor, Senapati Bapat Marg, Lower Parel (West), Mumbai – 400 013

Dear Sir/Madam,

Ref: Client Code _____

We, the undersigned, partners of M/s. _____ carrying on business at _____ desire to open trading account with you for the purpose of buying and selling commodities and / or other investment product(s) or the services through you.

We, the partners, jointly authorize our partner, Mr./Ms. _____ singly/severally/jointly to issue instructions to you as our commodity broker for commodities, trades, funds, investments, etc. and undertake that all the acts of the said partner in this connection purporting to be done on behalf of the firm shall be binding on the firm and each one of us and our respective estates until liabilities if any, accrued in respect of such acts have been discharged.

Thanking you,

Yours faithfully,

	Full Name of the partners	Individual signatures	Signature on behalf of the firm
1.			
2.			
3.			

For : _____

DECLARATION OF HUF
(Required in case of HUF trading account)

Date:

To IndiaNivesh Commodities Pvt. Ltd.
Sub: Co-parceners details and declaration

Dear Sir,

Commodity Trading Account no..... DP/ CP Beneficiary Account no.....
We the present adult Co-parceners of the HUF namely hereby declare:

1. That Shri/Smt.....is the present Karta or the Manger of the said HUF.
2. That we are entitled to trade in Commodity and open Commodity trading and Demat account of the said HUF.
3. That each one of us has full and unrestricted authority to act on behalf of, and bind, the said HUF and all the present as well as future members, both adults and minors, of the said HUF however constituted form time to time.
4. We confirm that the affairs of the said HUF and business of HUF firm are carried mainly by the Karta/Manager.....on behalf and in the interest and for the benefit of all the co-parceners of the said HUF. We hereby authorize said Karta/Manager on behalf of HUF to deal on National Commodity & Derivatives Exchange Limited (NCDEX), Multi Commodity Exchange (MCX), Indian Commodity Exchange Limited (ICEX) of all exchanges and said trading member hereby authorized to honor all instructions oral or written given by him on behalf of the HUF. The said Karta/Manager is authorized to sell, purchase transfer, endorse, negotiate documents, sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary to open account and give effect to this purpose. We are however jointly and severally responsible for all liabilities of said HUF to the said trading Member and agree and confirm that any claim due to the Member from said HUF shall be recoverable from the assets of any one or all of us and also from the estate of the said HUF including the interest thereon of every co-perceners of the said HUF including from the minor co-parceners if any.
5. We undertake to advise the Member in writing of any change that may occur in the Karta/ Management or in the constitution of the said HUF and until receipt of such notice by the trading Member, the Member will entitled to regard each of us as a member of the said HUF and all acts, dealing and transactions purporting to have been done on behalf of the said HUF before the Member shall have received notice in the manner aforesaid, shall be binding on the said HUF and said HUF and on our respective estates. We shall, however continue to be liable jointly and severally to the Member of all dues and obligation of the said HUF in the Member's Book on the date of the receipt of such notice by the Member and until such dues and obligations shall have been liquidated and discharged.
6. To facilitate the operation of the above Commodity trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations we authorize you to recognize the beneficiary account no.....with Depository.....DP/ CP id.....Client id.....in the Name of HUF/Karta.
7. We agree that obligation of the share purchase and /or sale by HUF will be handled and completed through transfers to /from the above mentioned beneficiary account. We recognize and accept transfers made by you to the beneficiary account as completion of obligations by you in respect of trades executed in the above trading account of the HUF.
8. The names and date of birth of the present minor co-parceners as well as the adult co-parceners of the said HUF are given below. We undertake to inform you in writing as and when each of said minor members attains the age of majority and any change in adult co-parceners.
9. We hereby state that details mentioned above are true and any change in them would be intimated in writing.s.

S. No.	Name	Date of Birth	Relation	Gender	Signature/s of the Co-parceners

Yours faithfully,

(Signature of Karta with H.U.F stamp)

Anti Money Laundering and Risk Proofing Sheet

Risk Profile Assessment

	Question	Answer
1.	What is your main purpose of Investing?	a. To protect capital (2 marks) b. To protect capital and earn regular income (4 marks) c. To grow capital (6 marks) d. To grow capital and generate regular income (8 marks) e. To build long-term wealth (10 marks) ☐
2.	What is your current portfolio composition:	a. Mainly money market, short-term funds, corporate / bank deposits and bonds (2 marks) b. Mainly debt market instruments, gold and some portion in blue-chip stocks (4 marks) c. A mix of debt instruments, blue-chip / aggressive stocks, capital protected and direct equity (6 marks) d. Mainly aggressive stock, high-yield debt funds, (small and midcap stocks and income funds) private equity and real estate (8 marks) e. Mostly speculative or high-risk investments (aggressive stocks, high-risk funds, options, real estate, leveraged positions, etc.) (10 marks) ☐
3.	What is your investment horizon and when do you plan to start withdrawing money from the portfolio?	a. Within 1 year (2 marks) b. Between 1 and 3 years (4 marks) c. Between 3 and 5 years (6 marks) d. Between 5 and 10 years (8 marks) ☐
4.	What percentage of your investments would you like to keep for emergencies or unforeseen events?	a. More than 50% (2 marks) b. 25% - 50% (4 marks) c. 10% - 25% (6 marks) d. Below 10% (8 marks) e. None of my investments (10 marks) ☐
5.	If your investment is not doing as well as anticipated, how much time would you give for it to show performance	a. less than 3 months (2 marks) b. Up to 6 months (4 marks) c. Up to 12 months (6 marks) d. Up to 2 years (8 marks) e. Up to 3 years or more (10 marks) ☐
6.	Which of the following best describes you as an investor:	a. Comfortable with investments that involve lower risk and generate lower but consistent returns year-to-year (2 marks) b. Willing to ignore minor fluctuations in my portfolio but prefer to be invested in less risky investments (4 marks) c. I would like to have moderate capital growth over a long- term period with short-term fluctuations, but averse to taking high risks (6 marks) d. Looking for substantial investment returns, willing to accept occasional short-term declines (8 marks) e. Targeting high investment returns, willing to accept higher risks including loss of capital (10 marks) ☐

Question		Answer																																									
7.	Which portfolio will you choose from the following The table shows the worst and the best one year return of five hypothetical investment plans:	<table><tr><td></td><td>Indicative Return</td><td>Best Return</td><td>Worst Return</td><td>Risk Volatility</td><td></td></tr><tr><td>a</td><td>6%</td><td>6%</td><td>6%</td><td>-</td><td>(2 marks)</td></tr><tr><td>b</td><td>7%</td><td>12%</td><td>2%</td><td>2.50%</td><td>(4 marks)</td></tr><tr><td>c</td><td>10%</td><td>30%</td><td>-10%</td><td>10%</td><td>(6 marks)</td></tr><tr><td>d</td><td>12%</td><td>45%</td><td>-25%</td><td>12%</td><td>(8 marks)</td></tr><tr><td>e</td><td>15%</td><td>60%</td><td>-30%</td><td>20%</td><td>(10 marks)</td></tr></table>							Indicative Return	Best Return	Worst Return	Risk Volatility		a	6%	6%	6%	-	(2 marks)	b	7%	12%	2%	2.50%	(4 marks)	c	10%	30%	-10%	10%	(6 marks)	d	12%	45%	-25%	12%	(8 marks)	e	15%	60%	-30%	20%	(10 marks)
	Indicative Return	Best Return	Worst Return	Risk Volatility																																							
a	6%	6%	6%	-	(2 marks)																																						
b	7%	12%	2%	2.50%	(4 marks)																																						
c	10%	30%	-10%	10%	(6 marks)																																						
d	12%	45%	-25%	12%	(8 marks)																																						
e	15%	60%	-30%	20%	(10 marks)																																						
8.	Assuming an inflation rate of 4-6% p.a. over a medium to long-term horizon, what is your return expectation?	a. Inflation rate plus 2 - 4% p.a. (2 marks) b. Inflation rate plus 5- 7% p.a. (4 marks) c. Inflation rate plus 8- 10% p.a. (6 marks) d. Inflation rate plus 11 - 15% p.a. (8 marks) e. More than 15% p.a. over inflation rate (10 marks)																																									
9.	If your investment in a particular stock falls by 25% and there is no change in the fundamentals of the company (assuming that your circumstances and conviction about that that stock has not changed), you will	a. Not trade in stocks (2 marks) b. Sell all your holdings in that stock (4 marks) c. Sell part of your holdings in that stock (6 marks) d. Hold in order to get better returns (8 marks) e. Buy more of the stock (10 marks)																																									
10.	How frequently do your track your stocks?	a. Many a times b. Once in a day b. Weekly d. Monthly																																									
11.	What kind of research interests you the most?	a. Investment and strategy and investment ideas b. Short term trading calls c. Daily market view and day trading calls																																									
12.	What is your source of Stock market information?	a. TV channels b. News Paper c. Friends/Relative d. Broker e. Others (specify)_____																																									
13.	What is market/ stock preference?	Market Preference Stock Preference Speculator High risk return Regulator investor Bluchip Occasional Stock valued less then Rs.10/- Investment IndiaNivesh Research Trader Stock recommended by other research house																																									

What does your Risk Profile Score mean?

Wealth Guard (Risk Averse)	26- 44
Wealth Keeper (Conservative)	45- 63
Wealth Builder (Balanced)	64- 82
Wealth Enhancer (Growth)	83- 101
Wealth Multiplier (Aggressive)	102- 122

Total Score

What is your current portfolio size?

- ☐ Below 5 lacs ☐ 5-15 lacs
☐ 15-25 lacs ☐ 25-50 lacs
☐ 50 lacs & more

Whether any of your director or shareholder or Key Managerial Person are any of the following, or are directly or indirectly related to any of the following:

☐ NO

- ☐ Civil Servant ☐ Bureaucrat (Tax authorities, Foreign Services, IAS etc.)
☐ Politician or relative of politician
☐ Current or former MP, MLA, MLC or relative
☐ Current or former Head of State or their relative
☐ Connected to Media
☐ Print ☐ Radio ☐ TV ☐ Internet Blogs
☐ Connect to any promoter group of company listed on any stock exchange
_____ Name of the Company.
_____ Name of Stock exchange where company is listed.

Declaration - Risk profile

(Strike off whatever is not applicable)

1. I have undergone the risk profiling process and I agree with the risk category I have been placed under based on my risk profile assessment.

OR

2. I have undergone the risk profiling process. However, I do not agree with the risk category derived above based on my risk profile assessment and I want to override the risk category Based on my own assessment and attitude towards risk and investment, I prefer to be placed under risk category _____. (Please select a risk profile from the five model risk categories mentioned in the previous page.)
3. I also undertake to update the status if there is any change in future.

Signature of Account Holder _____ Place: _____ Date: _____

(VOLUNTARY)

To
IndiaNivesh Commodities Private Limited
Lodha Supremus, 17th Floor, Senapati Bapat Marg,
Lower Parel (West), Mumbai – 400 013

Dear Sir,
Sub: Sharing of Data and Information

I/We have opened a trading account with INCPL having client code and demat account with IndiaNivesh Commodities Private Limited (INCPL-Comtrack) having Comtrack and am/are interested in knowing about various financial products /facilities offered by your associate/group companies. I/We am/are aware that the associate/group companies are required to obtain information about me/us and my/our transactions for providing various financial products/facilities.

I/We hereby voluntarily accept and expressly authorize INCPL to get the information from INCPL-Comtrack or from any other Depository Participant of its group/associate companies with whom I/we have the Demat account and share/disclose or use in any manner, the information/documents/data about me/us and our transactions, with group/associate companies which is offering the products/facilities which may be availed by me/us:

1. Information provided by me/us in the Trading and Demat / Comtrack Account Opening Kit.
2. My holdings in stocks/securities / comtrack.
3. Ledger balances in my/our trading/demat / comtrack account across all Exchanges/Depositories .
4. Transaction cum holding statement with INCPL-Comtrack
5. Any other related information

I/We authorize you, your group companies and associates to keep me/us informed with any financial product which IndiaNivesh, its group companies and associates presently issue, deal in, or distribute or may, from time to time, launch, issue, deal in or distribute through e-mail, SMS, telephone, print media or otherwise as may be allowed.

I/We have no objection to INCPL sharing the above information or any such other information, about me/us with its group/associate companies or affiliates. This is without legal obligation on you, your group companies and associates to so inform and you or they may, in their discretion, discontinue sending such information.

I/We understand that IndiaNivesh Commodities Private Limited will not have any financial liability for the third party products/ scheme/league/ competitions etc. offered/run by associates/group companies of IndiaNivesh Commodities Private Limited. I/We also understand that participation in any such scheme/league/ competitions or dealing in any of such products shall be at my/our sole discretion and I/we shall not have any recourse to any dispute redressal mechanism/arbitration mechanism/investor protection schemes of the exchanges/SEBI upon my / our participation in any such scheme/league/competition etc against the M/s IndiaNivesh Commodities Private Limited.

Yours faithfully,

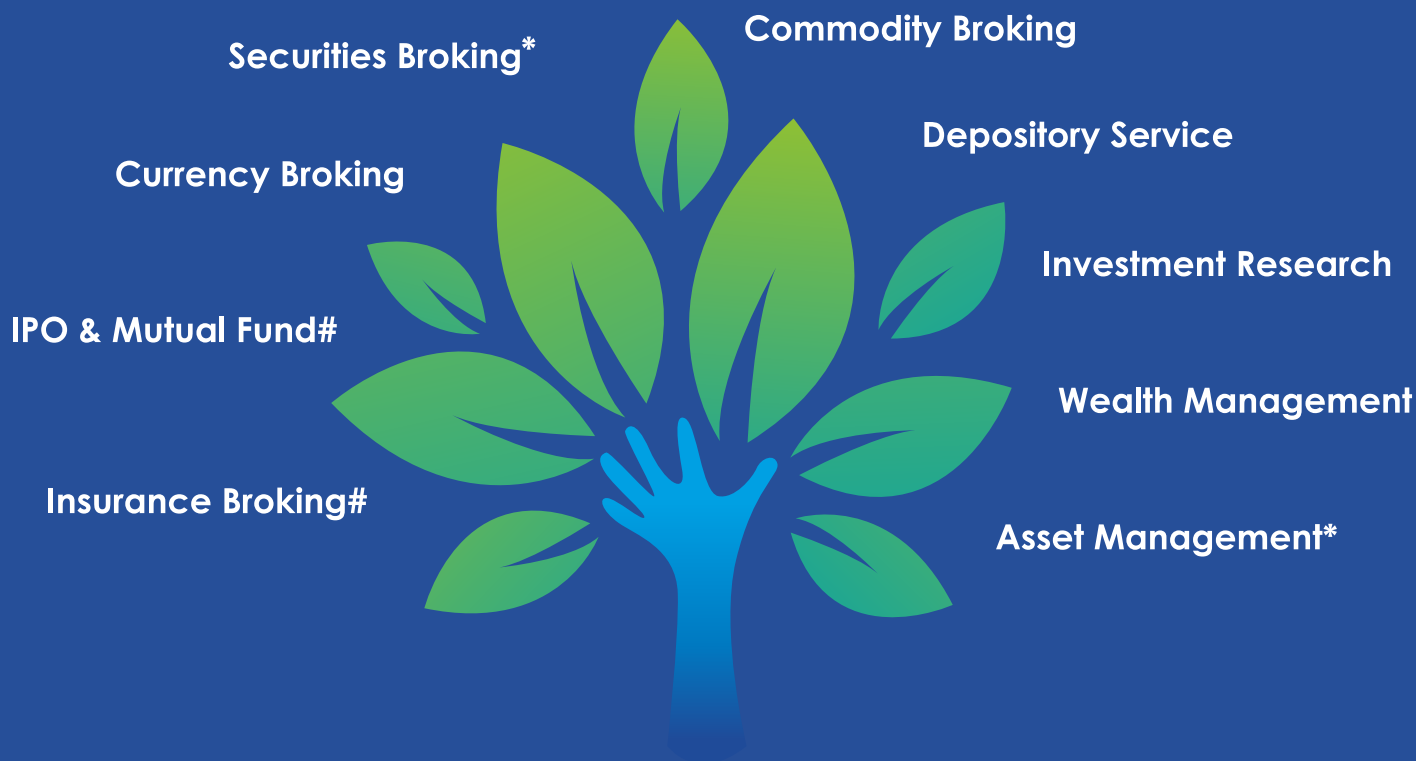
Client Name : _____

Signature of Client :  _____

Place : _____

Date : _____

OUR OFFERINGS



* through group company IndiaNivesh Securities Limited/IndiaNivesh Ltd.
for distribution only



IndiaNivesh[®]

TRUST, WE EARN IT

IndiaNivesh Commodities Private Limited

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