



COMPOSITE INVESTMENTS PRIVATE LIMITED

DOCUMENT CHECKLIST

Please note that in this option you can download the form- SAVE it –Enter your details as per your proof & then take the printout.

1. **ID Proof** (Mandatory) – Pan Card Photocopy (Self-attested)

2. **Address Proof** (any one of the following)

- Driving License Latest Telephone Bill Voters ID Electricity Bill Ration Card
 Aadhaar Card Gas Bill Passport Latest 3 Months Bank Statement / Passbook

The original address proof needs to be displayed before the webcam at the time of IN PERSON VERIFICATION

3. **Income Proof**

In case of Salary Income: Salary slip-Copy of Form 16	Latest IT return: Photocopy	Latest Demat Account Statement
6 months Bank statement Passbook along with bank seal	Net worth Certificate from C.A.	

4. **One Passport size photograph**

5. **Payment**

Cheque of Rs.350/- favoring "COMPOSITE INVESTMENTS PVT LTD" towards Account opening charges. In case the clients name is not printed on the cheque, bank statement/passbook photocopy has to be provided. **(Note: Charges will be WAIVED off for existing clients- Equity account holder).**

6. **In-person Verification**

The exchange requires us to perform in-person verification, so you have to be available on a webcam at a later date for the in-person verification.

Note:

1. All the supporting documents need to be self-attested.
2. Witness signature has to be taken along with their name & address (Nominee & the Account holder cannot sign as witness).
3. Across signature required on photo (half signature on form & half on photo).
4. Page no.7 the lines mentioned must be reproduced in **Own Handwriting** of the client.

Please send us the form with the supporting documents to the below mentioned address:

Composite Investments Pvt. Ltd.

KMK Tower, Ground Floor, #142, K H Double Road, Bangalore - 560027

PH: 080-35493400 Mob: 9844700001



COMPOSITE INVESTMENTS PRIVATE LIMITED

Clearing Member- Stock Holding Corporation of India Limited .
SEBI REG. NO: INZ000279531

Registered Office address:

COMPOSITE INVESTMENTS PRIVATE LIMITED
KMK Tower, Ground Floor, #142, K H Double Road, Bangalore - 560027
PH: 080-35493400
Email: help@compositeinvestments.com | Website : www.compositedge.com

Correspondence Address:

COMPOSITE INVESTMENTS PRIVATE LIMITED
KMK Tower, Ground Floor, #142, K H Double Road, Bangalore - 560027
PH: 080-35493400
Email: help@compositeinvestments.com | Website : www.compositedge.com

Compliance Officer Details:

Name : Prakash Nayak B
Email ID : prakash@compositeinvestments.com

Phone No: 080-22244909/912/913

CEO Details:

Name : Satish Kumar Dutt
Email ID: skdutt@compositeinvestments.com

Phone No:080-22244909/912/913

For any grievance/dispute please contact member(Compliance Officer)at the above address or email id-prakash@compositeinvestments.com and Phone no. 080-22244909 in case not satisfied with the response, please contact the concern exchanges,

SET OF ACCOUNT OPENING DOCUMENT

Sl.No.	Name of Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY FMC & EXCHANGES			
1	Account Opening Form	KYC form- Document captures the basic information about the constituent and an instruction check list.	1-5
2	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the commodity market.	Annexure-2
3	Rights and Obligations of Members Authorized Persons and Clients	Document stating the Rights & Obligations of member, Authorized Person and client for trading on exchange (including additional rights & obligations in case of internet/ wireless technology based trading).	Annexure-3
4	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	Annexure-4
5	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the commodity exchange(s).	6
VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER			
6	E Contract Note - Appendix A	Electronic Contract Note (ECN) Declaration	7
7	Running account authorization	Running account authorization	8
8	Undertaking	Undertaking	9-11



Instructions / Checklist 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 securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/Judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

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

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

D. Exemptions/clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected.)

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



E. List of people authorized to attest the documents:

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

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

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



**KNOW YOUR CLIENT (KYC)
APPLICATION FORM FOR INDIVIDUALS**

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS			
Name of the Applicant			
Father's/Spouse Name			
Mother's Name			
Gender	<input type="radio"/> Male <input type="radio"/> Female	Marital Status	<input type="radio"/> Single <input type="radio"/> Married
Date of Birth	Nationality		
Status	<input type="radio"/> Resident Individuals	<input type="radio"/> Non Resident	<input type="radio"/> Foreign National
PAN			
Unique Identification No. (UID) / Aadhaar if any			
Specify the Proof of Identity submitted			
B. ADDRESS DETAILS			
Address for Correspondence			
	City		Pin code
	State		Country
Contact Details	Phone (res)		Fax
	Phone (off)		Mob. No
	Email Id		
Specify the Proof of address submitted for correspondence address			
Permanent Address <i>(If different from ABOVE or OVERSEAS address, mandatory for Non-Resident Applicant)</i>			
	City		Pin code
	State		Country
Specify the Proof of address submitted for Permanent address			

PHOTOGRAPH
Please affix the recent passport size photograph of Authorised Signatory and sign across it

1

DECLARATION	SIGNATURE OF APPLICANT
I 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 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.	
Place: _____ Date: _____	


FOR OFFICE USE ONLY	
AMC/Intermediary name OR code (Original 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 Organisation, Signature and Date



OTHER DETAILS			
Gross Annual Income Details <i>(Please specify) Income Range per annum"</i>	<input checked="" type="checkbox"/> Below Rs.1 Lac	<input type="checkbox"/> 1-5 Lacs	<input type="checkbox"/> 5-10 Lacs
	<input type="checkbox"/> 10-25 Lacs	<input type="checkbox"/> Above 25 Lacs	
Net worth as on (date)	Amount		Date
	<i>Net worth should not be older than 1 year</i>		
Occupation <i>(Please tick any one)</i>	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Govt. Service
	<input type="checkbox"/> Professional	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Housewife
	<input type="checkbox"/> Retired	<input type="checkbox"/> Others	<input type="checkbox"/> Student
If you are Employed/ Self Employed / Business/ Professional <i>(Please GIVE brief details)</i>	Name of your employer / firm		
	Nature of activity		
	Designation		
	Address of employer / firm		
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP)	<input type="checkbox"/> Related to a Politically Exposed Person (PEP)	
	Any other information		

BANK ACCOUNT DETAILS	
Bank Name	
Branch Address	
Bank A/c Number	
Account Type	<input type="checkbox"/> SB <input type="checkbox"/> CA <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> OTHERS
MICR No.	
IFSC Code	

DEPOSITORY ACCOUNT(S) DETAILS	
Depository Participant Name	
Depository (NSDL / CDSL)	
Beneficiary Name	
Beneficiary ID (BO ID)	
DP ID	

Sl.No.	Name of the National Commodity Exchanges #	Date of Consent for trading on concerned Exchange	Signature of the Client
1.	Multi Commodity Exchange of India Ltd. (MCX)		 3

TRADING EXPERIENCE		
<input type="checkbox"/> No Prior Experience	___ Yrs in Commodities	___ Yrs in other investment related fields



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	
VAT DETAILS (As applicable, State wise)	
Local VAT Registration No.	
Validity Date	
Name of the State	
Other VAT Registration No.	
Name of the State	
Validity Date	
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	
DEALINGS THROUGH OTHER MEMBERS	
If client is dealing through any other Member, provide the following details (in case dealing with multiple Members, provide details of all in a separate sheet containing all the information as mentioned below):	
Member's / Authorized Person	
(AP)'s Name	
Exchange	
Exchange's Registration number	
Concerned Member's Name with whom the AP is registered	
Registered office address	
Phone & Fax	
Email	
Website	
Client Code	
Details of disputes/dues pending	



INTRODUCER DETAILS (Optional)	
Name of the introducer	
Address	
Phone No.	
Status / Relationship of introducer with CIPL	<input type="checkbox"/> Authorised person <input type="checkbox"/> Sub broker <input type="checkbox"/> Existing client <input type="checkbox"/> Others please specify
Signature of the introducer (optional)	
INTRODUCER DETAILS	
Whether you wish to receive communication from Member in electronic form on your Email-id (If yes then please fill in Appendix-A)	<input type="checkbox"/> Yes <input type="checkbox"/> No
NOMINATION DETAILS	
Please tick	<input type="checkbox"/> / we wish to nominate <input type="checkbox"/> / We do not wish to nominate
Name of Nominee	
Relationship with Nominee	
PAN of Nominee	
Date of Birth of Nominee	
Address of Nominee	
Phone no. of the Nominee	

If Nominee is a minor / details of guardian

Name of guardian	
Address and Phone No. of guardian	
Signature of Guardian	G1

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

Details	Witness 1	Witness 2
Name		
Signature	W1	W2
Address		



DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you to any changes therein, immediately, In case any of the above information is found to be false and untrue or misleading or misrepresenting, I am/ we may be held liable for it.
2. I/ We confirm having read / been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/ We further confirm having read and understood the contents of the Rights and Obligations' document(s) and 'Risk Disclosure Document' .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 stock broker's designated website, if any.

Place:

Client Signature  4

Date:

Additional Details

Whether you wish to receive physical or electronic copy of the following documents, which are part of the account opening kit:

- Rights and obligations of stock broker, sub-broker and client for trading on exchanges (including additional rights and obligations in case of internet / wireless technology based trading);
- Uniform Risk Disclosure Documents (for all segments / exchanges) and
- Guidance Note detailing Do's and Dont's for trading on stock exchanges

Please specify below

Physical

Will be sent to you on your residence address

Electronic

Will be mailed to you on your registered e-mail

FOR OFFICE USE ONLY

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

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

Signature of the Authorised Signatory

Seal / Stamp of the commodity broker

Date :



MANDATORY TARIFF SHEET

I / We agree to pay the charges as per the following charges structure for my/our Trading account with
COMPOSITE INVESTMENTS PRIVATE LIMITED

For all executed orders	Rs.20/- per executed Order*
Broker Assisted	Additional Rs.20/-per executed Order
Minimum Contract Charge	Rs.10/- per exchange

- * Or 0.005% whichever is LOWER
- * all / trades resulting from a single order

- Margin as required by FMC / MCX will be required to be paid
- In addition to the brokerage charges, the following charges will be also be levied

Schedule of charges

- Transaction charges
- Service tax (including Education Cess and Higher Education Cess)
- Stamp Duty (State-wise stamp duty as applicable will be levied)

Place:

Date:

Client Signature  5



Voluntary

Appendix A Electronic Contract Note [ECN] - DECLARATION

To,
Composite Investments Pvt Ltd., Bangalore

Dear Sir,

I, _____ a client with Member
M/s. Composite Investments Pvt Ltd. of Multi Commodity Exchange of India Ltd. (MCX)
undertake as follows:

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

(The ABOVE declaration has been read and understood by me. I am aware of the risk INVOLVED in dispensing with the physical contract note, and do hereby take full responsibility for the same) (The ABOVE lines must be reproduced below in own handwriting of the client.)

Name of the Client	
Unique Client Code	
PAN Number	
Address	

Place:

Client Signature  6

Date:

Verification of the client signature done by _____ Name of the designated officer of the Member

Instructions:

- This declaration form has to be sent by the Member to the client on the email id provided by client while opening the trading account.
- The client shall, on receipt of this email, print the email as well as the declaration form.
- The hard copy of the declaration shall be filled up by the client and submitted to the Member along with a signed hard copy of the email. The Member shall acknowledge the receipt of the declaration from the client.



Voluntary

Running Account Authorisation

To:

Composite Investments Pvt Ltd [CIPL]
KMK Tower, Ground Floor,
#142, K H Double Road,
Bangalore - 560027

Date:

Ref: Client Code: _____

Dear Sir,

In order to facilitate operations of my/our trading account opened under the aforesaid client code, I/We would like to authorize Composite Investments Pvt Ltd.(CIPL) to maintain a running account, instead of settlement-to-settlement clearance of funds/securities due to me/us. I/We hereby authorize CIPL to maintain a running account.

I/We shall prefer settlement of fund/securities once in (tick any one)

A calendar quarter A calendar month

Such settlement will be done by CIPL on any day at its discretion in a calendar month or quarter (hereinafter referred as 'settlement period') as the case may be. I/We agree that I/We shall be liable to pay the debit standing to my account on the settlement date or any other date.

I/We agree that CIPL shall not be liable for any claim for loss, loss of profit, loss of interest or for any consequential, incidental, special or exemplary damages, caused by retention/settlement of such securities/funds under aforesaid arrangement or otherwise.

I/We am/are aware that the authorization may be revoked by me/us any time. CIPL may release the funds/securities to me/us on my/our on settlement date or on request or on revocation of authority, if sufficient margins in respect of my/our trading, across the commodity exchange(s) and across the segment of the commodity exchange(s) are available with CIPL .

Yours faithfully

Client Signature  7

Name: _____

Note: The authorization shall be signed by the client only and not by any authorized person on his behalf or any holder of the Power of Attorney.



Voluntary

Acknowledgement

To:

Date:

COMPOSITE INVESTMENTS PRIVATE LIMITED

KMK Tower, Ground Floor, #142, K H Double Road, Bangalore - 560027

Dear Sir / Madam,

I / We hereby acknowledge receipt of the following documents.

1. Duly executed copy of KYC.
2. Rights and Obligations of Stock Brokers, Sub-brokers and Clients as prescribed by SEBI and Stock Exchanges and Internet & Wireless Technology Based Trading provided by Stock Brokers to Clients.
3. Risk Disclosure Document.
4. Guidance Note – Do's and Don'ts for Trading on the Exchange(s) for investors.
5. Policies and Procedures
6. Tariff Sheet
7. General Terms & Conditions governing securities Trading & Broking services of Composite Investments Pvt. Ltd.
8. All other mandatory and voluntary client registration documents.

I / we have without any compulsion executed the Voluntary documents by me / us and have read, understood the same. The above documents are binding on me.

Yours faithfully,

Client Name _____

Client Code _____ Date: _____

Client Signature  8

Mobile Declaration

I _____ having PAN _____ do hereby declare that my mobile no. is _____. Further, I authorize Composite Investments Private Limited that the same may be used for giving me any information / alert / SMS.

I further declare the above mentioned statement is true and correct.

Client Signature  9

Disclosure Information

Dear Sir / Madam

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

Thanks and Regards,

Composite Investments Pvt Ltd

Client Signature  10

I / We acknowledge receipt of information given above by Composite Investments Private Limited that they do client based trading and Pro-account trading and they are not indulged in portfolio management services.



Voluntary Document

To:

COMPOSITE INVESTMENTS PRIVATE LIMITED
KMK Tower, Ground Floor, #142,
K H Double Road, Bangalore - 560027

Date:

Dear Sir,

SUB:-UNDERTAKING / AUTHORISATION

With respect to the Member-Constituent Relationship and Mandatory and Voluntary (optional) Documents executed between us, I/We do hereby authorize CIPL to do the following:

1. ORDER PLACEMENT INSTRUCTIONS

I understand that you require written instructions from me for placing / modifying / canceling orders. Even if I have the facility to trade online through Internet and wireless technology, I may have to sometimes place/modify/cancel orders by physically visiting /calling/ emailing your office in case of breakdown of internet connectivity or other similar reasons. However, it would not be practical for me to give written instructions for placing/modifying/canceling such orders,

I therefore hereby request you to kindly accept my / my authorized representative or mandate holder's verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other modes. I indemnify CIPL and its employees against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my instructions for orders placed verbally.

2. ERRORS AND OMISSIONS

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances CIPL shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold CIPL responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by CIPL .

3. NO MARKET MANIPULATION

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, or trades etc. which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, CIPL has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

4. NOT TO ACT AS UNREGISTERED SUB BROKER

I undertake not to act as an unregistered Sub-broker and deal only for myself and not on behalf of other clients.

In case CIPL perceives that I am acting as an unregistered sub broker, CIPL has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to CIPL without the requirement of any notice from CIPL . Further, CIPL has the right to inform the concerned regulatory authorities about the same.

In the aforesaid eventuality, I agree and undertake to indemnify CIPL from any loss/damage/claim arising out of such activity.

5. NOT DEBARRED BY ANY REGULATOR

I confirm and declare that there is no bar on me imposed by any Exchange or any Regulatory and/or Statutory authority to deal in securities directly or indirectly. I agree to inform CIPL , in writing, of any regulatory action taken by any Exchange or Regulatory/ Statutory authority on me in future. In case I fail to inform the same and CIPL on its own comes to know of such action, CIPL has

the right to suspend/close my trading account and refuse to deal with me. Also, CIPL can at its sole discretion, close all the open positions and liquidate collaterals to the extent of debit balances, without any notice to me.

6. PMLA DECLARATION

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by CIPL officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that

- I do not have any links with any known criminals
- I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor am I a party to it.

7. INDEMNIFICATION


- I hereby indemnify and hold CIPL, its Directors and employees harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to CIPL directly or indirectly, by reason of my furnishing false information/forged documents for proof of address, identity and other supporting documents provided by me at the time of registration and/ or subsequently.
- I hereby agree to indemnify and hold CIPL harmless from any claims, demands, actions, proceedings, losses, damages, liabilities, charges, and /or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

I therefore request you to register me as your client for participating in the Trading segments opted by me in the Account opening Form.

Yours faithfully

Place:

Date:

Client Signature  11