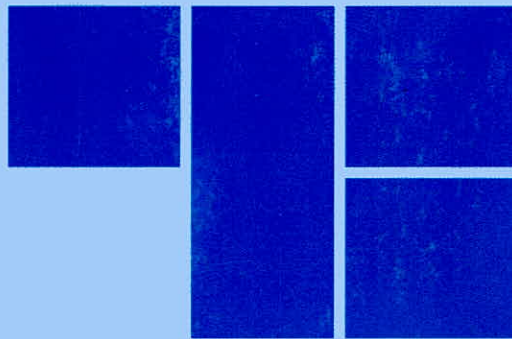


**TRUSTLINE**  
INVESTMENT IDEAS. SIMPLIFIED.

## Account Opening Form

MEMBER : MCX / NCDEX / NMCEIL



**TRUSTLINE COMMODITIES PVT. LTD.**

Client Name

Deva Mand

Branch Code

H.0

A/c Opening Date

06-10-2016

Client Code

M34403

## SET OF ACCOUNT OPENING DOUCMENT

# Trustline Commodities Pvt. Ltd.

Exchange Name	Membership ID	FMC ID
MCX	35350	MCX/TCM/CORP/0154
NCDEX	00020	NCDEX/TCM/CORP/0165
NMCEIL	CL0217	NMCE/TCM/CORP/0131
<b>Registered Office Address</b> C-633, New Friends Colony, New Delhi-110025 Phone: +91-11-26832111		<b>Correspondence Office Address</b> Trustline Tower, B-3, Sector-3, Noida-201301 Tel.: +91-120-4663333, 4663300 Fax: +91-120-4663388 Email : helpdesk@trustline.in, Website : www.trustline.in
<b>Compliance Officer's Details</b> Name : Vinay Gupta Phone No. : +91-120-4663333 E-mail Id : trustline@trustline.in		<b>CEO's Details</b> Name : Dr. Mukesh Kansal Phone No. : +91-120-4663333 E-mail Id : trustline@trustline.in

S.No.	Name of the Document	Brief Significance of the Document	Page No.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY FMC &amp; EXCHANGES</b>			
1.	KYC (Account Opening) application form	KYC form - Document captures the basic information about the constituent and an instruction/check list.	1-16
2.	Uniform Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the commodities market.	17-19
3.	Rights and Obligations of Members, Authorized Persons and Clients	Document stating the Rights & Obligations of member, Authorized person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	20-27
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.	28-29
5.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the commodity exchanges(s).	30
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER</b>			
6.	Electronic Contract Note [ECN]	Declaration	31
7.	Authority Letter for Running Account	Authorisation	32
8.	Authority Letter for Squaring off outstanding Position	Authorisation	32
9.	Authorisation Letter for Electronic Communication	Authorisation	33
10.	Authority Letter for Facilitating a Computer	Authorisation	34
11.	Authorisation for Consent Letter for Intimation Calls	Authorisation	34
12.	Declaration to be Given by HUF	Authorisation	35
13.	Authorisation of Group / Family Dealings	Authorisation	36
14.	FATCA & CRS Declaration	FATCA & CRS Declaration for Individual	37-38
15.	Declaration	Client Declaration	39
16.	Consent Letter	Consent Letter	40

- For any grievance/dispute please contact member (name) at the above address or email id- helpdesk@trustline.in and Phone No. +91-120-4663333. In case not satisfied with the response, please contact the concerned exchange(s) at:

Exchange Name	Email Id	Phone No.	Website
Multi Commodity Exchange of India Ltd.	grievance@mcxindia.com	91-22 6731 8888	www.mcxindia.com
National Commodity & Derivatives Exchange Ltd.	askus@ncdex.com	91-22-6640 6666	www.ncdex.com
National Multi Commodity Exchange of India Ltd.	helpdesk@nmce.com	91-79-40086018/19	www.nmce.com
National Spot Exchange Ltd.	grievances@nationalspotexchange.com	91-22-6761 9900	www.nationalspotexchange.com

- \*Following documents should not form part of either mandatory or Voluntary documents:
  - Authorization letter for any inter family / group company / related accounts adjustment
  - Authorization of adjustment of funds among securities exchange and commodities exchange

# Trustline Commodities Pvt. Ltd.

Corporate Office : Trustline Tower, B-3, Sector-3, Noida-201301  
Tel.: +91-120-4663333, 4663300 Fax: +91-120-4663388  
Regd. Office : C-633, New Friends Colony, New Delhi-110025

NCDEX Registration No-Membership ID-00020  
MCX Registration No-Membership ID-35350  
NMCEIL Registration No-Membership ID-CL0217

## IN PERSON VERIFICATION

Name of Employee	MAHESH SHARMA.				
Employee Code	KA05210	Signautre of Employee	S. Mahesh.		
Branch Office Code	H.O	Date	05-10-2016	Place	Noida
Name of Client	DEVANAND.		Signature of Client	① (X) M. deva.....	

### Mode of Trading (Please tick any one & Sign below)

1. Internet Base Trading (Online)	<input checked="" type="checkbox"/>	Signature of Client	② (X) M. deva.....
2. Non Internet Base Trading (Offline)	<input type="checkbox"/>		

### INTRODUCER'S DETAIL

**Introduction :** Introduced by another constituent/director or employee or trading member/any other person (please specify)

Name of Introducer : MAHESH SHARMA.  
Address of Introducer : C-10/16 Pocket-4 Kenda's Vihar  
City: Noida Pin Code: 201304  
Contact No. of the Introducer : 9797817026  
Signature of Introducer : S. Mahesh  
Identity Proof Submitted : PAN. Identity No. AMPPR7116J Validity: / /

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

#### (Relationship Manager/Remisier's Details)

Name & Designation of RM/Remisier : MAHESH SHARMA. Client Name : DEVANAND  
who interviewed the client : MAHESH SHARMA.  
Employee Code/Remisier Code : KA05210 Client's Signature : 3 (X) M. dora  
Signature of RM/Remisier : S. Mahesh Dated : 05 10 2016

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time Directors and persons authorized to deal in Commodities Derivatives on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a regional language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FIPB/FEMA guidelines and other applicable statutory approvals), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted along with other statutory approvals required for investment in commodities.
10. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

etc., to their Members; and Credit cards/Debit cards issued by Banks.

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

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

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

### E. List of people authorized to attest the documents:

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

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

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

**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual**

**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



**For office use only** Application Type\*  New  Update  
 (To be filled by financial institution) KYC Number  (Mandatory for KYC update request)  
 Account Type\*  Normal  Simplified (for low risk customers)  Small

**1. PERSONAL DETAILS** (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
<input checked="" type="checkbox"/> Name* (Same as ID proof)	MR.	DEVA NAND		
Maiden Name (If any*)				
Father / Spouse Name*	MR.	RAJ		KJ SHOR
Mother Name*		KAMLESH		RAJ
Date of Birth*	09-02-1986			
Gender*	<input checked="" type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender			
Marital Status*	<input checked="" type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others			
Citizenship*	<input checked="" type="checkbox"/> IN- Indian <input type="checkbox"/> Others (ISO 3166 Country Code <u>IN</u> )			
Residential Status*	<input checked="" type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin			
Occupation Type*	<input type="checkbox"/> S-Service ( <input checked="" type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector ) <input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student ) <input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorized			

**PHOTO**

M. Deva N.

**2. TICK IF APPLICABLE**  RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\* IN

Tax Identification Number or equivalent (If issued by jurisdiction)\*

Place / City of Birth\* NOIDA ISO 3166 Country Code of Birth\* IN

**3. PROOF OF IDENTITY (PoI)\*** (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number <input type="text"/>	Passport Expiry Date <input type="text"/>
<input type="checkbox"/> B- Voter ID Card <input type="text"/>	
<input checked="" type="checkbox"/> C- PAN Card <u>AMPPR7116J</u>	
<input type="checkbox"/> D- Driving Licence <input type="text"/>	Driving Licence Expiry Date <input type="text"/>
<input checked="" type="checkbox"/> E- UID (Aadhaar) <u>264021121618</u>	
<input type="checkbox"/> F- NREGA Job Card <input type="text"/>	
<input type="checkbox"/> Z- Others (any document notified by the central government) <input type="text"/>	Identification Number <input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code <input type="text"/>	Identification Number <input type="text"/>

**4. PROOF OF ADDRESS (PoA)\***

**4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS** (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type\*  Residential / Business  Residential  Business  Registered Office  Unspecified

Proof of Address\*  Passport  Driving Licence  UID (Aadhaar)  
 Voter Identity Card  NREGA Job Card  Others 264021121618  
 Simplified Measures Account - Document Type code

**Address**

Line 1\* H.NO F-18

Line 2\* SARASWATI VIHAR

Line 3\* KHORA COLONY City / Town / Village\* NOIDA

District\* NOIDA Pin / Post Code\* 201301 State / U.T Code\* UP ISO 3166 Country Code\* IN

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS \* (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1\* H.NO F-18  
 Line 2 SARASWATI VIHAR  
 Line 3 KHORA COLONY City / Town / Village\* NOIDA  
 District\* NOIDA Pin / Post Code\* 201301 State / U.T Code\* UP ISO 3166 Country Code\* IN

4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\* (Applicable if section 2 is ticked)

Same as Current / Permanent / Overseas Address details  Same as Correspondence / Local Address details  
 Line 1\*  
 Line 2  
 Line 3 City / Town / Village\*  
 State\* ZIP / Post Code\* ISO 3166 Country Code\*

5. CONTACT DETAILS (All communications will be sent on provided)

Tel. (Res) Mobile 913296203  
 Email ID devanand28@yahoo.com

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

Addition of Related Person  Deletion of Related Person KYC Number of Related Person (if available\*)  
 Related Person Type\*  Guardian of Minor  Assignee  Authorized Representative  
 Name\* Prefix First Name Middle Name Last Name  
 (If KYC number and name are provided, below details of section 6 are optional) el. (Off)

PROOF OF IDENTITY [PoI] OF RELATED PERSON\* (Please see instruction (H) at the end)

A- Passport Number Passport Expiry Date DD-MM-YYYY  
 B- Voter ID Card  
 C- PAN Card  
 D- Driving Licence Driving Licence Expiry Date DD-MM-YYYY  
 E- UID (Aadhaar)  
 F- NREGA Job Card  
 Z- Others (any document notified by the central government) Identification Number  
 S- Simplified Measures Account - Document Type code Identification Number

7. REMARKS (If any)

Mobile no. / Email-ID (Please refer instruction F at the end)

Remarks section with multiple empty rows for text entry.

8. APPLICANT DECLARATION

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

Date : 05-10-2016 Place : NOIDA

M. deng  
 Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received  Certified Copies

KYC VERIFICATION CARRIED OUT BY  
 Date 05-10-2016  
 Emp. Name Mahesh Sharma  
 Emp. Code KA05210  
 Emp. Designation Back Office  
 Emp. Branch H.O

INSTITUTION DETAILS  
 Name  
 Code

Mahesh  
 (Emp. Name)

Large empty box for stamp or additional details.



**CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling individual KYC Application Form**
**General Instructions:**

- 1 Fields marked with '\*\*' are mandatory fields.
- 2 Tick '✓' wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- 6 Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
- 9 In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

**A Clarification / Guidelines on filling 'Personal Details' section**

- 1 **Name:** Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Either **father's name** or **spouse's name** is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

**B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India**

- 1 **Tax identification Number (TIN):** TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

**C Clarification / Guidelines on filling 'Proof of Identity [PoI]' section**

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- 3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

**D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section**

- 1 PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

**E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section**

- 1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- 2 In case of multiple correspondence / local addresses, Please fill '**Annexure A1**'

**F Clarification / Guidelines on filling 'Contact details' section**

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

**G Clarification / Guidelines on filling 'Related Person details' section**

- 1 Provide KYC number of related person if available.

**H Clarification / Guidelines on filling 'Related Person details – Proof of Identity [PoI] of Related Person' section**

- 1 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

### List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

### List of ISO 3166 two- digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Beiarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Swalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy Saint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

**Annexure A1**

**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Correspondence / Local Address**

**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



**For office use only**      Application Type\*     New     Update  
 (To be filled by financial institution)    KYC Number    \_\_\_\_\_    (Mandatory for KYC update request)

**1. CORRESPONDENCE / LOCAL ADDRESS DETAILS** (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details

Line 1\*    H.M.O F-18  
 Line 2    SARASWATI VIHAR  
 Line 3    KHORA COLONY      City / Town / Village\*  
 District\*    NOIDA      Pin / Post Code\* 201301      State / U.T Code\* U.P      ISO 3166 Country Code\* IN

**2. CONTACT DETAILS** (All communications will be sent on provided Mobile no./ Email-ID) (Please refer instruction F at the end)

Tel. (Off)    \_\_\_\_\_      Tel. (Res)    \_\_\_\_\_      Mobile    \_\_\_\_\_ - 913296203  
 FAX    \_\_\_\_\_      Email ID    devnand30@yahoo.com

**3. APPLICANT DECLARATION**

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

Date : 05-10-2016      Place : NOIDA

*M. Dever*  
 [Signature / Thumb Impression]  
 \_\_\_\_\_  
 Signature / Thumb Impression of Applicant

**Annexure B1**

**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Related Person**

**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike of the sections not required to be updated.



**For office use only** Application Type\*  New  Update  
 (To be filled by financial institution) KYC Number  (Mandatory for KYC update request)

**1. DETAILS OF RELATED PERSON** (Please refer instruction G at the end)

Addition of Related Person  Deletion of Related Person KYC Number of Related Person (if available\*)

Related Person Type\*  Guardian of Minor  Assignee  Authorized Representative

Name\* Prefix  First Name  Middle Name  Last Name

(If KYC number and name are provided, below details of section 1 are optional)

**PROOF OF IDENTITY (PoI) OF RELATED PERSON\*** (Please see instruction (H) at the end)

A- Passport Number  Passport Expiry Date  DD -  MM -  YYYY

B- Voter ID Card

C- PAN Card

D- Driving Licence  Driving Licence Expiry Date  DD -  MM -  YYYY

E- UID (Aadhaar)

F- NREGA Job Card

Z- Others (any document notified by the central government)  Identification Number

S- Simplified Measures Account - Document Type code  Identification Number

**2. APPLICANT DECLARATION**

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

Date : 05-10-2016 Place : Hoidy

[Signature / Thumb Impression]  
  
 Signature / Thumb Impression of Applicant

**3. ATTESTATION / FOR OFFICE USE ONLY**

Documents Received  Certified Copies

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date: 05-10-2016	Name: <input type="text"/>
Emp. Name: mahesh sharmg	Code: <input type="text"/>
Emp. Code: RA05210	<input type="text"/>
Emp. Designation: Back office	
Emp. Branch: H.O	
[Employee Signature:	
	[Institution Stamp]

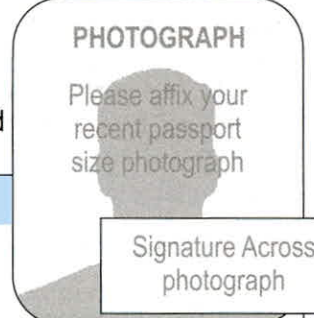
Annexure 1

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

Acknowledgement No. \_\_\_\_\_

**Trustline Commodities Pvt. Ltd.**  
Trustline Tower, B-3, Sector-3, Noida-201301

NEW  CHANGE REQUEST  
(Please tick✓ the appropriate)



Please fill this form in **ENGLISH** and in **BLOCK LETTERS**  
(Please tick✓ the box on left margin of appropriate row where **CHANGE/CORRECTON** is required and provide the details in the corresponding row)

<b>A. IDENTITY DETAILS</b>	
<input type="checkbox"/>	1. Name of the Applicant <b>DEVA NAND</b>
<input type="checkbox"/>	2. Father's / Spouse Name <b>RAJ KISHOR</b>
<input type="checkbox"/>	3a) Gender <input checked="" type="checkbox"/> Male <input type="checkbox"/> Female   3b) Marital Status <input type="checkbox"/> Single <input checked="" type="checkbox"/> Married   3c) Date of Birth <b>09-02-1986</b>
<input type="checkbox"/>	4a) Nationality <input checked="" type="checkbox"/> Indian <input type="checkbox"/> Others (Please specify) .....
<input type="checkbox"/>	4b) Status <input checked="" type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National
<input type="checkbox"/>	5a) PAN <b>AMPPR7116J</b>
<input type="checkbox"/>	5b) Unique Identification Number (UID) / Aadhaar, if any <b>264021126181</b>
<input type="checkbox"/>	6. Specify the proof of Identity submitted <input checked="" type="checkbox"/> PAN Card <input type="checkbox"/> Other (please specify).....

<b>B. ADDRESS DETAILS</b>	
<input type="checkbox"/>	1. Residence / Correspondence Address <b>H. NO. F-18</b> <b>SARASWATI VIHAR KHORA COLONY</b> City/Town/Village <b>NOIDA</b> PIN Code <b>201301</b> State <b>UTTAR PRADESH</b> Country <b>INDIA</b>
<input type="checkbox"/>	2. Specify the proof of address submitted for Residence/Correspondence Address <b>AADHAAR-CARD.</b>
<input type="checkbox"/>	3. Contact Details Tel. (Off.) _____ with STD Code _____ Tel. (Res.) _____ with STD Code _____ Fax No. _____ with STD Code _____ Mobile No. <b>9132962036</b> Email ID <b>devanand30@yahoo.com</b>
<input type="checkbox"/>	4. Permanent Address (if different from above or overseas address, Mandatory for Non-Resident Applicant) City/Town/Village _____ PIN Code _____ State _____ Country _____

**C. DECLARATION**

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

Date **05/10/2016**

**M. deva.**

Signature of the Applicant

**FOR OFFICE USE ONLY**

**In Person Verification (IPV) Details:**  
Name of the person who has done the IPV: **Mahesh Sharma**  
Designation: **Back office** Employee ID: **KA05210**  
Name of the Organization: **Trustline Commodities P. Ltd**  
Date of IPV: **05/10/2016** Signature of the person who has done IPV \_\_\_\_\_

Seal/Stamp of the Intermediary

Originals Verified and Self Attested Document copies received Date **06/10/2016**

Signature of the Authorised Signatory

Annexure 1

**PART-I KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Non-Individuals)** Acknowledgement No. \_\_\_\_\_

**Trustline Commodities Pvt. Ltd.**

Trustline Tower, B-3, Sector-3, Noida-201301

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

(Please tick ✓ the box on left margin of appropriate row where **CHANGE/CORRECTON** is required and provide the details in the corresponding row)

NEW  CHANGE REQUEST  
(Please tick ✓ the appropriate)

**A. IDENTITY DETAILS**

1. Name of the Applicant \_\_\_\_\_

2a. Date of incorporation 

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

 2b. Place of incorporation \_\_\_\_\_

3. Date of commencement of business 

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

4a) PAN \_\_\_\_\_

4b) Registration No. (e.g. CIN) \_\_\_\_\_

5. Status (please tick ✓ any one)  Private Limited Co.  Public Ltd. Co.  Body Corporate  Partnership  Trust  
 Charities  NGO's  FI  FII  HUF  AOP  Bank  Government Body  
 Non-Government Organization  Defense Establishment  BOI  Society  LLP  FPI-Category I  
 FPI-Category II  FPI-Category III  Others (Please specify) .....

**B. ADDRESS DETAILS**

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

2. Specify the proof of address submitted for correspondence address \_\_\_\_\_

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

4. Registered Address (if different from above) \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ PIN Code \_\_\_\_\_  
 State \_\_\_\_\_ Country \_\_\_\_\_

**C. OTHER DETAILS** (If space is insufficient, enclose these details separately [Illustrative format enclosed on page no. 5-6])

1. Name, PAN, residential address and photographs of Promoters/ Partners/Karta/Trustees and whole time directors: \_\_\_\_\_

2a. DIN of whole time directors \_\_\_\_\_


2b. Aadhaar number of Promoters/Partners/Karta \_\_\_\_\_

**D. DECLARATION**

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

Date 

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

 Name & Signature of the Authorised Signatory(ies) 

**FOR OFFICE USE ONLY**

**In Person Verification (IPV) Details:**  
 Name of the person who has done the IPV: \_\_\_\_\_  
 Designation: \_\_\_\_\_ Employee ID: \_\_\_\_\_  
 Name of the Organization: \_\_\_\_\_  
 Date of IPV: \_\_\_\_/\_\_\_\_/\_\_\_\_ Signature of the person who has done IPV \_\_\_\_\_ Seal/Stamp of the Intermediary \_\_\_\_\_

Originals Verified and Self Attested Document copies received Date \_\_\_\_/\_\_\_\_/\_\_\_\_ Signature of the Authorised Signatory \_\_\_\_\_







**PART-II FOR INDIVIDUALS & NON-INDIVIDUALS**

Please fill this form in ENGLISH and in BLOCK LETTERS.

<b>A. OTHER DETAILS</b>									
1. <b>Gross Annual Income Details</b> (please specify)	Income Range per annum	Net- worth Amount (₹) .....							
	<input type="checkbox"/> Below ₹1 Lac <input checked="" type="checkbox"/> ₹1-5 Lac <input type="checkbox"/> ₹5-10 Lac <input type="checkbox"/> ₹10-25 Lac <input type="checkbox"/> ₹25 Lac -1 Crore <input type="checkbox"/> More than ₹1Crore	As on (date) <table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table> (Net worth should not be older than 1 year)	D	D	M	M	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
2. <b>Occupation</b> (please tick any one and give brief details):	<input checked="" type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Farmer <input type="checkbox"/> Others (Specify) .....								
3. <b>Please tick, as applicable</b>	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> Not a Politically Exposed Person (PEP) <input type="checkbox"/> Not Related to a Politically Exposed Person (PEP)								
4. <b>Name, PAN, Residential Address and Photographs of Promoters/Partners/Karta/Trustees and whole time directors</b>									
(If space is insufficient, enclose these details separately [Illustrative format enclosed on page no. 5-6] ) If you have a landline connection, kindly provide the same									

<b>B. BANK ACCOUNT(S) DETAILS (1)</b>		
Bank Name	PUNJAB NATIONAL BANK	
Branch Address	Sec. 15 32/16 First Floor	
City/Town/Village	NOIDA	PIN Code 201301
State	U.P	Country INDIA
Bank Account No.	1656000200241233	
Bank Account Type	<input checked="" type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others	
MICR Code	224020264	IFSC PUNB0186560
<b>BANK ACCOUNT(S) DETAILS (2)</b>		
Bank Name		
Branch Address		
City/Town/Village		PIN Code
State		Country
Bank Account No.		
Bank Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others	
MICR Code		IFSC

Note: Provide a copy of cancelled cheque leaf/pass book/bank statement specifying name of the client, MICR Code or/and IFSC Code of the bank

**C. DEPOSITORY ACCOUNT(S) DETAILS, If available**

Depository Participant Name

Depository Name (NSDL/CDSL)  NSDL  CDSL

Beneficiary Name

DP ID  Beneficiary ID (BO ID)

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

**D. TRADING PREFERENCES**

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

S. No	Name of the National Commodity Exchanges	Date of Consent for trading on concerned Exchange	Signature of the Client
1.	NCDEX	<input type="text"/>	Sign if applicable
2.	MCX	<input type="text"/>	<i>M deug</i> applicable
3.	NMCEIL	<input type="text"/>	Sign if applicable

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

**E. INVESTMENT/TRADING EXPERIENCE**

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

**F. 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

**G. VAT DETAILS (As Applicable, State wise)**

Local VAT Registration No  Validity Date

Name of the State

Other VAT Registration No  Validity Date

Name of the State

**H. PAST REGULATORY ACTIONS**

Details of any action/proceedings initiated/pending/taken by FMC/SEBI/Stock exchange/Commodity exchange/any other authority against the client or its Partners/promoters/whole time directors/authorized persons in charge during the last 3 years.

**I. DEALINGS THROUGH OTHER MEMBERS**

If client is dealing through any other Member, provide the following details (in case dealing with multiple Members/AP's, 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 No. \_\_\_\_\_

Concerned Member's Name with whom the AP is registered \_\_\_\_\_

Registered Office \_\_\_\_\_

Address \_\_\_\_\_

City/Town/Village \_\_\_\_\_ PIN Code \_\_\_\_\_

State \_\_\_\_\_ Country \_\_\_\_\_

Phone No \_\_\_\_\_ Fax No \_\_\_\_\_

Email Id \_\_\_\_\_

Website \_\_\_\_\_

Client Code \_\_\_\_\_

Details of disputes/dues pending from/to such Member/AP \_\_\_\_\_

**J. INTRODUCER DETAILS (Optional)**

Name of the Introducer \_\_\_\_\_

Status of the Introducer  Authorized Person  Existing Client  
 Others (please specify) \_\_\_\_\_

Address of the Introducer \_\_\_\_\_

City/Town/Village \_\_\_\_\_ PIN Code \_\_\_\_\_

State \_\_\_\_\_ Country \_\_\_\_\_

Phone No. of Introducer \_\_\_\_\_ Signature of the Introducer \_\_\_\_\_

**K. ADDITIONAL DETAILS**

Whether you wish to receive communication from Member in electronic form on your Email-id  Yes  No  
 (If yes then please fill in Appendix-A on page No. 25)

**L. NOMINATION DETAILS (For Individuals Only)**  I/We wish to nominate  I/We do not wish to nominate

Name of the Nominee \_\_\_\_\_

Relationship with the Nominee \_\_\_\_\_

PAN of Nominee \_\_\_\_\_ Date of Birth of Nominee D D M M Y Y Y Y

Address of the Nominee \_\_\_\_\_

City/Town/Village \_\_\_\_\_ PIN Code \_\_\_\_\_

State \_\_\_\_\_ Country \_\_\_\_\_

Phone No. of Nominee \_\_\_\_\_

**IF NOMINEE IS A MINOR, DETAILS OF GUARDIAN**

Name of Guardian \_\_\_\_\_  
 Address of the Guardian \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ PIN Code \_\_\_\_\_  
 State \_\_\_\_\_ Country \_\_\_\_\_  
 Phone No. of Guardian \_\_\_\_\_ Signature of Guardian \_\_\_\_\_

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


Name _____ Address _____ _____ _____ PIN Code _____ Signature <input checked="" type="checkbox"/>	Name _____ Address _____ _____ _____ PIN Code _____ Signature <input checked="" type="checkbox"/>
------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------

**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 of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

2. I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non-mandatory documents.

3. I/We further confirm having read and understood the contents of the 'Right and Obligations' document(s), 'Risk Disclosure Document' and 'Do's and Dont's'. I/we do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on Member's designated website : www.trustline.in.

Place M O J D A \_\_\_\_\_  8 Moleva  
 Date 05 MAY 2016 \_\_\_\_\_  
 Signature of Client/(all) Authorized Signatory(ies)\*

\* Form need to be signed by all the authorized signatories.

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client M34403 \_\_\_\_\_

Documents verified with Originals	
Name of the Employee/AP/SB*	<u>MAHESH SHARMA</u>
Employee Code	<u>KA05210</u>
Designation of the Employee/AP/SB*	<u>BACK OFFICE</u>
Date	<u>05 MAY 2016</u>
Signature	<u>Smohesh</u>

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

Date 06 MAY 2016 \_\_\_\_\_

\_\_\_\_\_  
 Signature of the Authorised Signatory

\_\_\_\_\_  
 Seal/Stamp of the Member

\* AP : Authorised Person, SB: Sub-Broker

The Exchange does not expressly or impliedly, guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure documents nor has the Exchange endorsed or passed any merits of participating in the Commodity Derivatives market/trading. This brief statement does not disclose all of the risks and other significant aspects of trading. You should, therefore, study derivatives trading carefully before becoming involved in it.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the contractual relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that investment in commodity futures contracts/ derivatives or other instruments traded on the Commodity Exchange(s), which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/ limited investment and/ or trading experience and low risk tolerance. You should, therefore, carefully consider whether such trading is suitable for you in the light of your financial condition. In case, you trade on the Exchange and suffer adverse consequences or loss, you shall be solely responsible for the same and the Exchange shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take the plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned member. The Client shall be solely responsible for the consequences and no contract can be rescinded on that account.

You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a commodity derivatives being traded on the Exchange.

It must be clearly understood by you that your dealings on the Exchange through a member shall be subject to your fulfilling certain formalities set out by the member, which may, inter alia, include your filing the know your client form and are subject to Rules, Byelaws and Business Rules of the Exchange guidelines prescribed by FMC from time to time and circulars as may be issued by the Exchange from time to time.

The Exchange does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any member of the Exchange and/ or third party based on any information contained in this document. Any information contained in this document must not be construed as business advice/investment advice. No consideration to trade should be made without thoroughly understanding and reviewing

the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade, you should be aware of or must get acquainted with the following:-

**1. Basic Risks involved in the trading of Commodity Futures Contracts and other Commodity Derivatives Instruments on the Exchange.**

**i. Risk of Higher Volatility**

Volatility refers to the dynamic changes in price that commodity derivative contracts undergo when trading activity continues on the Commodity Exchange. Generally, higher the volatility of a commodity derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded commodity derivatives contracts than in actively traded commodities/ contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in real losses.

**ii. Risk of Lower Liquidity**

- a. Liquidity refers to the ability of market participants to buy and/ or sell commodity derivative contract expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the number of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/ or sell commodity derivatives contracts swiftly and with minimal price difference and as a result, investors are more likely to pay or receive a competitive price for commodity derivative contracts purchased or sold. There may be a risk of lower liquidity in some commodity derivative contracts as compared to active commodity derivative contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.
- b. Buying/ Selling without intention of giving and/ or taking delivery of certain commodities may also result into losses, because in such a situation, commodity derivative contracts may have to be squared-off at a low/ high prices, compared to the expected price levels, so as not to have any obligation to deliver/ receive such commodities.

### iii. Risk of Wider Spreads

- a. Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a commodity derivative and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid commodities/ commodity derivatives contracts. This in turn will hamper better price formation.

### iv. Risk-reducing orders

- a. Most of the Exchanges have a facility for investors to place "limit orders", "stop loss orders" etc. Placing of such orders (e.g. "stop loss" orders or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.
- b. A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that commodity derivatives contract.
- c. A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the client received price protection, there is a possibility that the order may not be executed at all.
- d. A stop loss order is generally placed "away" from the current price of a commodity derivatives contract, and such order gets activated if and when the contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the contract approaches pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

### v. Risk of News Announcements

- a. Traders/Manufacturers make news announcements that may impact the price of the commodities and/or commodity derivatives contracts. These announcements may occur during trading and when combined with lower liquidity and higher volatility may suddenly cause an unexpected positive or negative movement in the price of the commodity/ commodity derivatives contract.

### vi. Risk of Rumours

- a. Rumours about the price of a commodity at times float in the market through word of mouth, newspaper, websites or news agencies, etc., the investors should be wary of and should desist from acting on rumours.

### vii. System Risk

- a. High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.
- b. During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in execution of order and its confirmation.
- c. Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a commodity due to any action on account of unusual trading activity or price hitting circuit filters or for any other reason.

### viii. System/ Network Congestion

- a. Trading on the Exchange is in electronic mode, based on satellite/ leased line communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control of and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open

positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

**2. As far as Futures Commodity Derivatives are concerned, please note and get yourself acquainted with the following additional features:-**

**Effect of "Leverage" or "Gearing":**

- a. The amount of margin is small relative to the value of the commodity derivatives contract so the transactions are 'leveraged' or 'geared'. Commodity Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the principal investment amount. But transactions in commodity derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in commodity derivatives contracts and also trade with caution while taking into account one's circumstances, financial resources, etc.
- b. Trading in Futures Commodity Derivatives involves daily settlement of all positions. Every day the open positions are marked to market based on the closing price. If the closing price has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This margin will have to be paid within a stipulated time frame, generally before commencement of trading on the next day.
- c. If you fail to deposit the additional margin by the deadline or if an outstanding debt occurs in your account, the Member of the Exchange may liquidate/square-up a part of or the whole position. In this case, you will be liable for any losses incurred due to such square-up/ Close Outs.
- d. Under certain market conditions, an Investor may find it difficult or impossible to execute the transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- e. Steps, such as, changes in the margin rate, increase in the cash margin rate etc. may be adopted in order to maintain market stability. These new measures may be applied to the existing open interests. In such

conditions, you will be required to put up additional margins or reduce your positions.

- f. You must ask your Member of the Exchange to provide the full details of the commodity derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

**3. TRADING THROUGH WIRELESS TECHNOLOGY OR ANY OTHER TECHNOLOGY:**

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with commodities trading through wireless technology or any other technology should be brought to the notice of the client by the member.

**4. General**

**i. Deposited cash and property:**

You should familiarize yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm become insolvent or bankrupt. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property, which has been specifically identifiable as your own, will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the Member of the Exchange, the same shall be subject to arbitration as per the Rules, Bye-laws and Business Rules of the Exchange.

**ii. Commission and other charges:**

Before you begin to trade, you should obtain a clear explanation of all commissions, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

**iii. For rights and obligations of the Members/Authorised Persons/ clients, please refer to Annexure 3**

**iv. The term 'Constituent' shall mean and include a Client, a Customer or an Investor, who deals with a member for the purpose of trading in the commodity derivatives through the mechanism provided by the Exchange.**

**v. The term 'member' shall mean and include a Trading Member or a Member/Broker, who has been admitted as such by the Exchange and got a Unique Member Code from FMC.**

**as prescribed by FMC and Commodity Exchanges**

1. The client shall invest/trade in those commodities /contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Business Rules/ Regulations of Exchanges/ Forward Markets Commission (FMC) and circulars/notices issued there under from time to time.
2. The Member, Authorized Person and the client shall be bound by all the Rules, Byelaws and Business Rules of the Exchange and circulars/notices issued there under and Rules and Regulations of FMC and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy himself of the capacity of the Member to deal in commodities and/or deal in derivatives contracts and wishes to execute its orders through the Member and the client shall from time to time continue to satisfy itself of such capability of the Member before executing orders through the Member.
4. The Member shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The Member shall take steps to make the client aware of the precise nature of the Member's liability for business to be conducted, including any limitations, the liability and the capacity in which the Member acts.
6. Requirements of professional diligence
  - a. The Member must exercise professional diligence while entering into a financial contract or discharging any obligations under it.
  - b. "professional diligence" means the standard of skill and care that a Member would be reasonably expected to exercise towards a Client, commensurate with
    - i. honest market practice;
    - ii. the principle of good faith;
    - iii. the level of knowledge, experience and expertise of the Client;
    - iv. the nature and degree of risk embodied in the financial product\* or financial service being availed by the Client; and
    - v. the extent of dependence of the Client on the Member.
7. The Authorized Person shall provide necessary assistance and co-operate with the Member in all its dealings with the client(s).
8. The client shall furnish all such details in full as are required by the Member in "Account Opening Form" with supporting details, made mandatory by commodity exchanges/FMC from time to time.
9. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the Member shall be non-mandatory; therefore, subject to specific acceptance by the client.
10. The client shall immediately notify the Member in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the Member on a periodic basis.
11. A. Protection from unfair terms in financial contracts\*\*
  - a. An unfair term of a non-negotiated contract will be void.
  - b. A term is unfair if it –
    - i. causes a significant imbalance in the rights and obligations of the parties under the financial contract, to the detriment of the Client; and
    - ii is not reasonably necessary to protect the legitimate interests of the Member.
  - c. The factors to be taken into account while determining whether a term is unfair, include –
    - i. the nature of the financial product or financial service dealt with under the financial contract;
    - ii. the extent of transparency of the term;
  - d. A term is transparent if it –
    - i. is expressed in reasonably plain language that is likely to be understood by the Client;
    - ii. is legible and presented clearly; and
    - iii. is readily available to the Client affected by the term.
  - e. If a term of a financial contract is determined to be unfair under point 11.A.c, the parties will continue to be bound by the remaining terms of the financial

\*Commodity derivative contract

\*\*contracts offered by commodity exchanges



contract to the extent that the financial contract is capable of enforcement without the unfair term.

11. B.

- a. "Non-negotiated contract" means a contract whose terms, other than the terms contained in point 11.C. (given below) are not negotiated between the parties to the financial contract and includes –
  - i. a financial contract in which, relative to the Client, the Member has a substantially greater bargaining power in determining terms of the financial contract; and
  - ii. a standard form contract.
- b. "Standard form contract" means a financial contract that is substantially not negotiable for the Client, except for the terms contained in point 11.C.
- c. Even if some terms of a financial contract are negotiated in form, the financial contract may be regarded as a nonnegotiated contract if so indicated by–
  - i. an overall and substantial assessment of the financial contract; and
  - ii. the substantial circumstances surrounding the financial contract
- d. In a claim that a financial contract is a non-negotiated contract, the onus of demonstrating otherwise will be on the Member.

11. C.

- a. The above does not apply to a term of a financial contract if it –
  - i. defines the subject matter of the financial contract;
  - ii. sets the price that is paid, or payable, for the provision of the financial product or financial service under the financial contract and has been clearly disclosed to the Client; or
  - iii. is required, or expressly permitted, under any law or regulations.
- b. The exemption under point 11.C does not apply to a term that deals with the payment of an amount which is contingent on the occurrence or non-occurrence of any particular event.

12. The Member and Authorized Person shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the Member may so disclose information about his client to any person or authority with the express permission of the client.

13. A. Protection of personal information and confidentiality

- a. "Personal information" means any information that relates to a Client or allows a Client's identity to be inferred, directly or indirectly, and includes –
  - i. name and contact information;
  - ii. biometric information, in case of individuals
  - iii. information relating to transactions in, or holdings of, financial products
  - iv. information relating to the use of financial services; or
  - v. such other information as may be specified.

13. B.

- a. A Member must –
  - i. not collect personal information relating to a Client in excess of what is required for the provision of a financial product or financial service;
  - ii. maintain the confidentiality of personal information relating to Clients and not disclose it to a third party, except in a manner expressly permitted under point 13.B. b.;
  - iii. make best efforts to ensure that any personal information relating to a Client that it holds is accurate, up to date and complete;
  - iv. ensure that Clients can obtain reasonable access to their personal information, subject to any exceptions that the Regulator may specify; and
  - v. allow Clients an effective opportunity to seek modifications to their personal information to ensure that the personal information held by the Member is accurate, up to date and complete.
- b. A Member may disclose personal information relating to a Client to a third party only if –
  - i. it has obtained prior written informed consent of the Client for the disclosure, after giving the Client an effective opportunity to refuse consent;
  - ii. the Client has directed the disclosure to be made;
  - iii. the Regulator has approved or ordered the disclosure, and unless prohibited by the relevant law or regulations, the Client is given an opportunity to represent under such law or regulations against such disclosure;
  - iv. the disclosure is required under any law or regulations, and unless prohibited by such law or regulations, the Client is given an opportunity to represent under such law or regulations against such disclosure;
  - v. the disclosure is directly related to the provision of a financial product or financial service to the Client, if the Member –

1. informs the Client in advance that the personal information may be shared with a third party; and
  2. makes arrangements to ensure that the third party maintains the confidentiality of the personal information in the same manner as required under this Part; or
  - vi. the disclosure is made to protect against or prevent actual or potential fraud, unauthorised transactions or claims, if the Member arranges with the third party to maintain the confidentiality of the personal information in the manner required under this Part.-
  - c. "Third party" means any person other than the concerned Member, including a person belonging to the same group as the Member.
14. A Requirement of fair disclosure both initially and on continuing basis
- a. Member must ensure fair disclosure of information that is likely to be required by a Client to make an informed transactional decision.
  - b. In order to constitute fair disclosure, the information must be provided –
    - i. sufficiently before the Client enters into a financial contract, so as to allow the Client reasonable time to understand the information;
    - ii. in writing and in a manner that is likely to be understood by a Client belonging to a particular category; and
    - iii. in a manner that enables the Client to make reasonable comparison of the financial product or financial service with other similar financial products or financial services.
  - c. The types of information that must be disclosed to a Client in relation to a financial product or financial service, which may include information regarding –
    - i. main characteristics of the financial product or financial service, including its features, benefits and risks to the Client;
    - ii. consideration to be paid for the financial product or financial service or the manner in which the consideration is calculated;
    - iii. existence, exclusion or effect of any term in the financial product or financial contract;
    - iv. nature, attributes and rights of the Member, including its identity, regulatory status and affiliations;
    - v. contact details of the Member and the methods of communication to be used between the Member and the Client;
    - vi. rights of the Client to rescind a financial contract within a specified period; or
    - vii. rights of the Client under any law or regulations.
- 14.B.
- a. Member must provide a Client that is availing a financial product or financial service provided by it, with the following continuing disclosures –
    - i. any material change to the information that was required to be disclosed under point 14.A at the time when the Client initially availed the financial product or financial service;
    - ii. information relating to the status or performance of a financial product held by the Client, as may be required to assess the rights or interests in the financial product or financial service; and
    - iii. any other information that may be specified.
  - b. A continuing disclosure must be made –
    - i. within a reasonable time-period from the occurrence of any material change or at reasonable periodic intervals, as applicable; and
    - ii. in writing and in a manner that is likely to be understood by a Client belonging to that category.

#### **MARGINS**

15. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the Member or the Exchange or as may be directed by FMC from time to time as applicable to the segment(s) in which the client trades. The Member is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange or FMC) and the client shall be obliged to pay such margins within the stipulated time.
16. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

#### **TRANSACTIONS AND SETTLEMENTS**

17. The client shall give any order for buy or sell of commodities derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the Member however ensuring the regulatory requirements in this regard are complied with. The Member shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
18. The Member shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it

shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant commodity exchange where the trade is executed.

19. The Member shall ensure that the money deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the Member for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, circulars, notices, guidelines of FMC and/or Rules, Business Rules, Bye-laws, circulars and notices of Exchange.
20. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, Member shall be entitled to cancel the respective contract(s) with client(s).
21. The transactions executed on the Exchange are subject to Rules, Byelaws and Business Rules and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Business Rules of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Business Rules of the Exchanges and the circulars/notices issued thereunder.

#### **BROKERAGE**

22. The Client shall pay to the Member brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Member renders to the Client. The Member shall not charge brokerage more than the maximum brokerage permissible as per the Rules, Business Rules and Bye-laws of the relevant commodity exchanges and/or Rules of FMC.

#### **LIQUIDATION AND CLOSE OUT OF POSITION**

23. Without prejudice to the Member's other rights (including the right to refer a matter to arbitration), the client understands that the Member shall be entitled to liquidate/close out all or any of the client's positions for nonpayment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
24. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring commodities which the client has ordered to be bought or sold, Member may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of

funds/commodities in favor of a Nominee shall be valid discharge by the Member against the legal heir.

#### **DISPUTE RESOLUTION**

25. The Member shall co-operate in redressing grievances of the client in respect of all transactions routed through it.
26. The client and the Member shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Business Rules of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
27. The client/Member understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/Member shall be binding on the client/Member in accordance with the letter authorizing the said representative to deal on behalf of the said client/Member.
28. Requirement for each Member to have an effective grievance redress mechanism which is accessible to all its Clients
  - a. A Member must have in place an effective mechanism to receive and redress complaints from its Clients in relation to financial products or financial services provided by it, or on its behalf, in a prompt and fair manner.
  - b. A Member must inform a Client, at the commencement of relationship with the Client and at such other time when the information is likely to be required by the Client, of—
    - i. the Client's right to seek redress for any complaints; and
    - ii. the processes followed by the Member to receive and redress complaints from its Clients.
29. A Suitability of advice for the Client
 

Right to receive advice that is suitable taking into account the relevant personal circumstances of the Client, such as the Clients financial circumstances and needs. This obligation would apply to persons who render advice to Clients and the regulator may specify categories of financial products and service that necessarily require such advice to be given.

  - a. A Member must—
    - i. make all efforts to obtain correct and adequate information about the relevant personal circumstances of a Client; and
    - ii. ensure that the advice given is suitable for the Client after due consideration of the relevant personal circumstances of the Client.
  - b. If it is reasonably apparent to the Member that the available information regarding the relevant personal

circumstances of a Client is incomplete or inaccurate, the Member must warn the Client of the consequences of proceeding on the basis of incomplete or inaccurate information.

- c. If a Client intends to avail of a financial product or financial service that the Member determines unsuitable for the Client, the Member –
  - i. must clearly communicate its advice to the Client in writing and in a manner that is likely to be understood by the Client; and
  - ii. may provide the financial product or financial service requested by the Client only after complying with point 29.A.a and obtaining a written acknowledgement from the Client.

### 30. Dealing with conflict of interest

In case of any conflict between the interests of a Client and that of the Member, preference must be given to the Client interests.

- a. A member must –
  - i. provide a Client with information regarding any conflict of interests, including any conflicted remuneration that the Member has received or expects to receive for making the advice to the Client; and
  - ii. give priority to the interests of the Client if the Member knows, or reasonably ought to know, of a conflict between –
    - 1. its own interests and the interests of the Client; or
    - 2. the interests of the concerned Member and interests of the Client, in cases where the Member is a financial representative.
- b. The information under point 16a.i. must be given to the Client in writing and in a manner that is likely to be understood by the Client and a written acknowledgement of the receipt of the information should be obtained from the Client.
- c. In this section, “conflicted remuneration” means any benefit, whether monetary or non-monetary, derived by a Member from persons other than Clients, that could, under the circumstances, reasonably be expected to influence the advice given by the Member to a Client.

### TERMINATION OF RELATIONSHIP

- 31. This relationship between the Member and the client shall be terminated; if the Member for any reason ceases to be a member of the commodity exchange including cessation of membership by reason of the Member's default, death, resignation or expulsion or if the certificate is cancelled by

the Exchange.

- 32. The Member, Authorized Person and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
- 33. In the event of demise/insolvency of the Authorized Person or the cancellation of his/its registration with the Board or/withdrawal of recognition of the Authorized Person by the commodity exchange and/or termination of the agreement with the Authorized Person by the Member, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the Member and all clauses in the ‘Rights and Obligations’ document(s) governing the Member, Authorized Person and client shall continue to be in force as it is, unless the client intimates to the Member his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

### ADDITIONAL RIGHTS AND OBLIGATIONS

- 34. The Member and client shall reconcile and settle their accounts from time to time as per the Rules, Business Rules, Bye Laws, Circulars, Notices and Guidelines issued by FMC and the relevant Exchanges where the trade is executed.
- 35. The Member shall issue a contract note to his clients for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The Member shall send contract notes to the investors within 24 hours of the execution of the trades in hard copy and/or in electronic form using digital signature.
- 36. The Member shall make pay out of funds or delivery of commodities as per the Exchange Rules, Bye-Laws, Business Rules and Circulars, as the case may be, to the Client on receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
- 37. The Member shall send a complete ‘Statement of Accounts’

for both funds and commodities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement immediately but not later than 30 calendar days of receipt thereof, to the Member. A detailed statement of accounts must be sent every month to all the clients in physical form. The proof of delivery of the same should be preserved by the Member.

38. The Member shall send margin statements to the clients on monthly basis. Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee, warehouse receipts, securities etc.
39. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with Member and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.
40. In case, where a member surrenders his/ her/ its membership, Member gives a public notice inviting claims, if any, from investors. In case of a claim relating to transactions executed on the trading system of the Exchange, ensure that client lodge a claim with the Exchange within the stipulated period and with the supporting documents.

#### 41.A.

Protection from unfair conduct which includes misleading conduct & abusive conduct

- a. Unfair conduct in relation to financial products or financial services is prohibited.
- b. "Unfair conduct" means an act or omission by a Member or its financial representative that significantly impairs, or is likely to significantly impair, the ability of a Client to make an informed transactional decision and includes –
  - i. misleading conduct under point 41.B
  - ii. abusive conduct under point 41.C
  - iii. such other conduct as may be specified.

#### 41.B.

- a. Conduct of a Member or its financial representative in relation to a determinative factor is misleading if it is likely to cause the Client to take a transactional decision that the Client would not have taken otherwise, and the conduct involves –
  - i. providing the Client with inaccurate information or

information that the Member or financial representative does not believe to be true; or

- ii. providing accurate information to the Client in a manner that is deceptive.
- b. In determining whether a conduct is misleading under point 41.B.a, the following factors must be considered to be "determinative factors" –
    - i. the main characteristics of a financial product or financial service, including its features, benefits and risks to the Client;
    - ii. the Client's need for a particular financial product or financial service or its suitability for the Client;
    - iii. the consideration to be paid for the financial product or financial service or the manner in which the consideration is calculated;
    - iv. the existence, exclusion or effect of any term in a financial contract, which is material term in the context of that financial contract;
    - v. the nature, attributes and rights of the Member, including its identity, regulatory status and affiliations; and
    - vi. the rights of the Client under any law or regulations.

#### 41.C.

- a. A conduct of a Member or its financial representative in relation to a financial product or financial service is abusive if it –
  - i. involves the use of coercion or undue influence; and
  - ii. causes or is likely to cause the Client to take a transactional decision that the Client would not have taken otherwise.
- b. In determining whether a conduct uses coercion or undue influence, the following must be considered –
  - i. the timing, location, nature or persistence of the conduct;
  - ii. the use of threatening or abusive language or behaviour;
  - iii. the exploitation of any particular misfortune or circumstance of the Client, of which the Member is aware, to influence the Client's decision with regard to a financial product or financial service;
  - iv. any non-contractual barriers imposed by the Member where the Client wishes to exercise rights under a financial contract, including –
  - v. the right to terminate the financial contract;
  - vi. the right to switch to another financial product or another Member and
  - vii. a threat to take any action, depending on the

circumstances in which the threat is made.

### **ELECTRONIC CONTRACT NOTES (ECN)**

42. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id (created by the client) to the Member (Kindly refer Appendix A of Annexure 1). Member shall ensure that all the rules/Business Rule/Bye-Laws/ circulars issued from time to time in this regard are complied with. The client shall communicate to the Member any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
43. The Member shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
44. The client shall note that non-receipt of bounced mail notification by the Member shall amount to delivery of the contract note at the e-mail ID of the client.
45. The Member shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/circulars/guidelines issued by FMC/Commodity exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the Member for the specified period under the extant rules/circulars/guidelines issued by FMC/Commodity exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The Member shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant rules/circulars/guidelines issued by FMC/Commodity exchanges.
46. The Member shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the Member shall send a physical contract note to the client within the stipulated time under the extant Regulations/ Rules, Bye-Laws, Business Rules and Circulars of FMC/commodity exchanges and maintain the proof of dispatch and delivery of such physical contract notes.
47. In addition to the e-mail communication of the ECNs to the client, the Member shall simultaneously publish the ECN on

his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

48. The Electronic Contract Note (ECN) declaration form will be obtained from the Client who opts to receive the contract note in electronic form. This declaration will remain valid till it is revoked by the client.

### **LAW AND JURISDICTION**

49. In addition to the specific rights set out in this document, the Member, Authorised Person and the client shall be entitled to exercise any other rights which the Member or the client may have under the Rules, Bye-laws and Business Rules of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules of FMC.
50. The provisions of this document shall always be subject to Government notifications, any rules, guidelines and circulars/notices issued by FMC and Circulars, Rules, Business Rules and Bye laws of the relevant commodity exchanges, where the trade is executed, that may be in force from time to time.
51. The Member and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal, if either party is not satisfied with the arbitration award.
52. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations/Business Rules and circulars/notices issued thereunder of the Exchanges/FMC.
53. All additional voluntary/non mandatory clauses/document added by the Member should not be in contravention with Rules/ Business Rules/Notices/Circulars of Exchanges/FMC. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/FMC shall also be brought to the notice of the clients.
54. If the rights and obligations of the parties hereto are altered by virtue of change in Rules of FMC or Bye-laws, Rules and Business Rules of the relevant commodity exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.
55. Members are required to send account statement to their clients every month in physical form.

## INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY MEMBERS TO CLIENT

***(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)***

1. Member is eligible for providing Internet based trading (IBT) and commodities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The Member shall comply with all requirements applicable to internet based trading/-commodities trading using wireless technology as may be specified by FMC & the Exchanges from time to time.
2. The client is desirous of investing/trading in commodities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for commodities trading through use of wireless technology. The Member shall provide the Member's IBT Service to the Client, and the Client shall avail of the Member's IBT Service, on and subject to FMC/Exchanges Provisions and the terms and conditions specified on the Member's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/FMC.
3. The Member shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with commodities trading through wireless technology/ internet or any other technology should be brought to the notice of the client by the Member.
4. The Member shall make the client aware that the Member's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/FMC.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Member's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/ commodities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the Member.
6. The Client shall immediately notify the Member in writing if he forgets his password, discovers security flaw in Member's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/ account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/ commodities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The Member shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the Member shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Member and the Exchange do not make any representation or warranty that the Member's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Member on account of any suspension, interruption, non-availability or malfunctioning of the Member's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Members/Exchange end for any reason beyond the control of the Member/Exchanges.

## GUIDANCE NOTE - DO's AND DON'Ts FOR THE CLIENTS

### Do's

1. Trade only through Registered Members of the Exchange. Check from the Exchange website at following link \_\_\_\_\_ to see whether the Member is registered with the Exchange.
2. Insist on filling up a standard 'Know Your Client (KYC)' form before you commence trading.
3. Insist on getting a Unique Client Code (UCC) and ensure all your trades are done under the said UCC.
4. Insist on reading and signing a standard 'Risk Disclosure Agreement'.
5. Obtain a copy of your KYC and/ or other documents executed by you with the Member, from the Member.
6. Cross check the genuineness of trades carried out at the Exchange through the trade verification facility available on the Exchange website at the following link \_\_\_\_\_. The trades can be verified online where trade information is available up to 5 working days from the trade date.
7. Insist on a duly signed Contract Note in specified format for every executed trade within 24 hours of trade, highlighting the details of the trade along with your UCC.
8. Ensure that the Contract Note contains all the relevant information such as Member Registration Number, Order No., Order Date, Order time, Trade No., Trade rate, Quantity, Arbitration Clause, etc.
9. Obtain receipt for collaterals deposited with the Member towards margins.
10. Go through the Rules, Bye-laws, Regulations, Circulars, Directives, Notifications of the Exchange as well as of the Regulators, Government and other authorities to know your rights and duties vis-à-vis those of the Member.
11. Ask all relevant questions and clear your doubts with your Member before transacting.
12. Insist on receiving the bills for every settlement.
13. Insist on Monthly statements of your ledger account and report any discrepancies in the statement to your Member within 7 working days. In case of unsatisfactory response report the discrepancy to the Exchange within 15 working days from the date of cause of action.
14. Scrutinize minutely both the transaction & holding statements that you receive from your Depository Participant.
15. Keep Delivery Instruction Slips (DIS) book issued by DPs in safe possession.
16. Ensure that the DIS numbers are preprinted and your account number (UCC) is mentioned in the DIS book.
17. Freeze your Demat account in case of your absence for longer duration or in case of not using the account frequently.
18. Pay required margins in time and only by Cheque and ask for receipt thereof from the Member.
19. Deliver the commodities in case of sale or pay the money in case of purchase within the time prescribed.
20. Understand and comply with accounting standards for derivatives.
21. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the Member. Note that the clauses as agreed between you and the Member cannot be changed without your consent.
22. Get a clear idea about all brokerage, commissions, fees and other charges levied by the Member on you for trading and the relevant provisions/ guidelines specified by FMC/Commodity exchanges.
23. Make the payments by account payee cheque in favour of the Member. Ensure that you have a documentary proof of your payment/deposit of commodities with the Member, stating date, commodity, quantity, towards which bank/ demat account such money or commodities (in the form of warehouse receipts) deposited and from which bank/ demat account.
24. The payout of funds or delivery of commodities (as the case may be) shall not be made to you within one working day from the receipt of payout from the Exchange, in case you have given specific authorization for maintaining running account to the member. Thus, in this regard, the running account authorization provided by you to the Member shall be subject to the following conditions:
  - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
  - b) You need to bring any dispute arising from the statement of account to the notice of the Member in writing preferably within 7 (seven) working days from the date of receipt of funds/commodities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Commodity exchanges without delay.
  - c) In case you have not opted for maintaining running account and pay-out is not received on the next working day of the receipt of payout from the exchanges, please refer the



matter to the Member. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Commodity exchange.

d) Please register your mobile number and email id with the Member, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the commodity exchanges.

25. You should familiarize yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the commodity derivatives market or the member becomes insolvent or bankrupt.
26. Please ensure that you have a documentary proof of having made the deposit of such money or property with the member, stating towards which account such money or property deposited.
27. In case your problem/grievance/issue is not being sorted out by concerned Member/Authorised Person then you may take up the matter with the concerned Commodity Exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to FMC.

#### Don'ts

1. Do not deal with any unregistered intermediaries.
2. Do not undertake off-market transactions as such transactions are illegal and fall outside the jurisdiction of the Exchange.

3. Do not enter into assured returns arrangement with any Member.
4. Do not get carried away by luring advertisements, rumours, hot tips, explicit/ implicit promise of returns, etc.
5. Do not make payments in cash/ take any cash towards margins and settlement to/from the Member.
6. Do not start trading before reading and understanding the Risk Disclosure Agreement.
7. Do not neglect to set out in writing, orders for higher value given over phone.
8. Do not accept unsigned/duplicate contract note/confirmation memo.
9. Do not accept contract note/confirmation memo signed by any unauthorized person.
10. Don't share your internet trading account's password with anyone.
11. Do not delay payment/deliveries of commodities to Member.
12. Do not forget to take note of risks involved in the investments.
13. Do not sign blank Delivery Instruction Slips (DIS) while furnishing commodities, deposits and/or keep them with Depository Participants (DP) or member to save time.
14. Do not pay brokerage in excess of that rates prescribed by the Exchange.
15. Don't issue cheques in the name of Authorized Person.

**TARIFF SHEET**

	Slab	Minimum Charges
Intraday	01 / per cent	
Delivery		

9 M. Deva.

Branch Manager Name : Sushil Gupta

Branch Manager Sign : Sushil

Note :-

1. The above charges are exclusive of Service Tax and other transaction charges.
2. Physical contract notes provided on request which would entail nominal charges.
3. Any charges over and above as mention in case of NSEL will be on actual basis like delivery charges, VAT etc.

Customer Signature 10 M. Deva.

Authorised Signatory.....

# **NON MANDATORY DOCUMENTS**

**ELECTRONIC CONTRACT NOTE [ECN] – DECLARATION**

(VOLUNTARY)

To,

**Trustline Commodities Pvt. Ltd.**

Regd. Office : C-633, New Friends Colony, New Delhi-110025

Corp. Office : Trustline Tower, B-3, Sector-3, Noida-201301

Dear Sir,

 I, DEVANAND. a client with Member (Trustline Commodities Pvt. Ltd) of MCX & NCDEX 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 devanand.30@yahoo.com and this has been created by me.

and not by someone else. \*Email id should be the same as register with us.

I am aware that this declaration form should be in English or in any other Indian 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 : Devanand

 Unique Client Code : N34403

 Address : H.No. F-18

 PAN : 

A	M	P	P	R	7	1	1	6	J
---	---	---	---	---	---	---	---	---	---

Saraswati Vihar
Khaja Colony Noida

 Signature of Client : 

 Date : 05/10/2016

 Place : Noida
**Office Use Only:**

 Signature Verified by Name: Mahesh Sharma

 Designation: Back Office

 Date of Updating in System : 05/10/2016

 Date of Acknowledge to the Client : 05/10/2016

**AUTHORITY LETTER FOR RUNNING ACCOUNT**

Dated: 05-10-2016

**Trustline Commodities Pvt. Ltd.**

Regd. Office : C-633, New Friends Colony, New Delhi-110025  
Corp. Office : Trustline Tower, B-3, Sector-3, Noida-201301

Ref: Commodities Trading Account No. 1134403

Dear Sir,

Please refer to the trading account opened with you, In the name of Deva Mand for the purpose of dealing in Spot and Derivatives segments of commodities exchange(s).

With reference to the same I/we confirm that I/we am/are desirous of regularly dealing in Spot and Derivatives segments of Commodities Trade and have requested you to maintain a running account for funds and commodities on my/our behalf without settling the account on settlement of each transaction on my/our behalf. I/we further request you to retain all amounts payable and commodities receivable by me/us until specifically requested by me/us in writing to be settled or to be dealt with in any other manner.

I/We understand and agree that no interest will be payable to me/us on the amounts or securities so retained with you.

Yours truly,

Client Signature: M. Singh Client Name: Deva Mand

**AUTHORITY LETTER FOR SQUARING OFF OUTSTANDING POSITION**

Dated: 05-10-2016

**Trustline Commodities Pvt. Ltd.**

Regd. Office : C-633, New Friends Colony, New Delhi-110025  
Corp. Office : Trustline Tower, B-3, Sector-3, Noida-201301

Ref: Commodities Trading Account No. 1134403

Dear Sir,

Please refer to the trading account opened with you, In the name of Deva Mand for the purpose of dealing in commodities in the spot and derivative segments of the exchange(s).

In case of default In daily margin, MTM's or failure to fulfill In time any additional margin requirements stipulated by you (even though not imposed by the exchange(s)/the clearing corporation/clearing house) or if any outstanding debt occurs in my/our account, I/we hereby irrevocably authorise you to close out/liquidate whole or any part of my/our position or substitute commodities without prejudice to yours right to refer the matter to arbitration. Any and all losses and financial charges on account of such liquidation/closing out etc. shall be charged to and borne by me/us.

Yours truly,

Client Signature: M. Singh Client Name: Deva Mand

**AUTHORISATION LETTER FOR ELECTRONIC COMMUNICATION**

**Trustline Commodities Pvt. Ltd.**

Regd. Office : C-633, New Friends Colony, New Delhi-110025

Corp. Office : Trustline Tower, B-3, Sector-3, Noida-201301

**SUB : COMMUNICATION IN ELECTRONIC FORM**

Dear Sir,

I/We understand that, I/We have option to receive all communications in physical or in electronic form. Pursuant to the same, I/We hereby opt to receive electronic form of the communication on my provided Email ID. I/we undertake and authorize Trading Member to send Electronic Contract Notes ("ECN"), Ledger/Financial Statement, Transactions Statement (Trading), Net Position, Order/Trade Confirmation, Bills and all general informations and intimations to me/us on my provided Email ID during the period of my dealing with Trustline Commodities Private Limited. I/We further undertake and confirm my following Email ID(s) for receiving communications sent to me by you and request you to record this Email ID for all future communications with me.

Email ID devanand.30@yahoo.com.....

For in case of electronically delivery of the ECN, I/We acknowledge and agree that non-receipt of bounced mail notification by the Trading Member shall amount to deliver of the Contract Note on my/our Email ID. In case if the Trading member receives a bounce email notification, the trading member shall send a physical contract note within 48 hours of the bouncing of the email. I/We do not/does not acknowledge the ECN by sending reply email within the stipulated time provided by the Trading Member, the same shall be deemed to have been acknowledged. I/We shall bring to the trading member any discrepancy in the contract note thus observed within 48 hours of the receipt of the ECN. In case I/We do not/does not inform and get the discrepancies corrected the same shall be deemed to have been accepted and will be binding upon me/us.

I/We undertake that it shall be my/our responsibility to inform the trading member about any change in my/our Email ID through a written request letter. I/We confirm that the trading member shall not be responsible for the delay or non-receipt of the ECN or any other communication due to any change in my/our Email ID or Inactive Email ID, Email box being full, failure to access my/our email id, failure of the email server, email in transit etc. I/We herby affirm that the trading member do not/does not require and shall not send hard copies of the contract notes at my/our correspondence address. I/We herby affirm that any information/ intimation/ documents/ reports shall be communicated preferably on my/our Email ID till such time the trading member receives any notification in writing from me/us

I/We agree that the Log Reports of your dispatch software shall be a conclusive proof of dispatch of ECN and any other electronic communication to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt/delayed receipt for any reason whatsoever.

Please treat this authorization as written ratification of my/our verbal directions/ authorizations given and carried out by you earlier. I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our directions given above.

Yours faithfully,

Client Signature: .....

Client Name: Devanand.....

**AUTHORITY LETTER FOR FACILITATING A COMPUTER**

**Trustline Commodities Pvt. Ltd.**

Date 05.10.2016

Regd. Office : C-633, New Friends Colony, New Delhi-110025

Corp. Office : Trustline Tower, B-3, Sector-3, Noida-201301

Dear Sir,

**Sub: Request for Providing Computer System in Branch Premises for Online Trading**

I, Deva Hand (Name of the client) S/o Raj Kishor  
R/o H.No. F-18 Saraswati Vihar Khajuraho Colony Noida U.P having  
M 34403 (Client code) registered with your company for online trading in commodities market. I request you to provide me with a computer system in your branch to execute trades from my account. I hereby confirm and undertake that all the trades undertaken by me using such computer system provided to me in your branch premises shall be entirely binding upon me after execution of such trades. Further I also confirm that I have executed these trades from the user id and strictly confidential password (As per the policy of the company provided by it on its website) exclusively provided by the company to me and to comply with all the confidentiality provisions and terms of use agreement provided on company's website.

I agree to indemnify and hold harmless Trustline Commodities Pvt. Ltd. from and against any and all loss, damages, claims, liabilities, expenses and costs, including, without limitation, regulatory penalties, attorneys' fees and costs incurred by the company in connection with any claim arising out of execution of the trades executed on the computer system provided by the company on my request..

Thanking you

Yours truly

Client Signature:  15

Client Name: Deva Hand

**AUTHORISATION FOR CONSENT LETTER FOR INTIMATION CALLS**

**Trustline Commodities Pvt. Ltd.**

Regd. Office : C-633, New Friends Colony, New Delhi-110025

Corp. Office : Trustline Tower, B-3, Sector-3, Noida-201301

**SUB: CONSENT LETTER FOR INTIMATION CALLS**

I/We, Mr./Ms./Mrs. Deva Hand having a trading account bearing client code  
M 34403 with you, i.e., Trustline Commodities Pvt. Ltd. having its registered office at C-633, New Friends Colony, New Delhi -110 025 (hereinafter referred as the "company"), have no objection for if I/We receive any call or message, on my contact number (Mobile or Telephone No.) registered with you, from and on behalf of the company about services being rendered by me/us or about financial transaction in my/our account or short margin call or order/trade confirmation call or Trade confirmation SMS or message for any change in exchange(s) or regulatory norms or any other procedural information provided/communicated by the company (hereinafter referred as the "Intimation Calls") in relation to my/our account.

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

I/We undertake that I/We shall indemnify and keep indemnified Trustline Commodities Private Limited or its director(s) or its employees from and against any loss, claims, liabilities, obligations, damages, deficiencies, actions, suits, proceedings or liability suffered or incurred or fastened due to any incorrect, wrong, false, misleading representations provided/disclosed by me/us to Trustline Commodities Private Limited.

Thanking you,

Your faithfully,

Client Signature:  16

Client Name: Deva Hand

**DECLARATION TO BE GIVEN BY HUF**

Date : .....

**Trustline Commodities Pvt. Ltd.**

Regd. Office : C-633, New Friends Colony, New Delhi-110025

Corp. Office : Trustline Tower, B-3, Sector-3, Noida-201301

Dear Sir,

We, all the coparceners (members) detailed below of the Hindu Undivided Family having PAN No..... do hereby authorize KARTA of the family Mr....., to open/operate in the name of this HUF a dealing/trading account and inter-alia to give orders, execute deals through you for and on behalf of the our HUF above named and we state that we are and shall always be jointly and severally responsible for The dealings/orders/trades/transactions that are executed by the Karta Mr.....And all his orders/deals shall be binding on the HUF and all its members jointly as well as severally.

In the eventuality of change of Karta of change in the constitution of HUF we shall inform you in writing and understand that we are required to collect from you and acknowledgement of having taken the same on record.

S. No.	Name	Date of Birth	Sex	Relation	Signature

 Sign of Karta  17 .....

 Thanking you,  
 Yours faithfully,

For.....(HUF)



## AUTHORISATION OF GROUP / FAMILY DEALINGS

Date .....:

**Trustline Commodities Pvt. Ltd.**

Regd. Office : C-633, New Friends Colony, New Delhi-110025

Corp. Office : Trustline Tower, B-3, Sector-3, Noida-201301

### Sub : Authorisation of Group / Family Dealings.

Sr. No.	Client Code	Name of Family MEMBER	Relationship	Signature

1. That the above-mentioned authorized person/Members of my family are regulatory trading/ investing through you on Multi Commodity Exchange of India Ltd. / National Commodities and Derivatives Exchange Ltd. and/or any other exchange(s).
2. That I hereby authorize you to set off a part or whole of the collateral by way of appropriation of relevant amount of cash and/or any account of the Client or of the Member of the family of the Client Online or Offline accounts with the Trading Member against the outstanding dues in the account of the Client and/or of the Member of the family of the Client under this agreement and or any of the above mentioned segments and with the Trading Member. The above mentioned family Members/authorized person/group persons is/are also authorized to receive all documents from Trustline Commodities Private Ltd. and is/are further authorized to do all acts necessary for operation in any account. All transactions, interalia include transfer of any or entire funds to his/her/their name. That I agree to intimate you from time to time of any additions or deletions of group/family Members in the group/family. I agree that any deletion shall take effect only on completion of settlement and adjustments of balances in all the accounts of the Members of the group/family. In order to facilitate operations, I authorize the Member to maintain a running account instead of settlement to settlement clearance of dues to me and no interest shall be payable by the Member on the same.
3. That I have given the above authority to Trustline Commodities Pvt. Ltd. with my free consent and without any pressure, threat or coercion from any corner whatsoever.
4. That in future I shall not make any claim from Trustline Commodities Pvt. Ltd. in any manner whatsoever of any collateral adjusted from cash in my account to set off the outstanding debit amounts in the above mentioned accounts I further state that if any body on my behalf claims the above said adjusted amount, the said act shall be null and void and shall be ineffective from all corners.
5. That this is my true irrevocable statement and shall remain binding on me.
6. That I hereby undertake to intimate you from time to time of any additions of the Constituents/funds to the said Group Account for the purpose of either allowing them to trade on my behalf or for the purpose adjustment of balance inter se.
7. The signatures of the above-mentioned authorized persons/members of my family consenting to the above mentioned terms of adjustments are affixed below.

 Name of Client : Deva Hand .....

 Client Signature :  N deug .....

 Client Code : M 34403 .....

 Category : Individual/Partnership/HUF/Proprietorship/Corporate/Trust/MF/FI/Bank/NBFC/Society/NRI/FII/OCB/Others  
 (please specify)

**FATCA & CRS DECLARATION (FOR INDIVIDUAL)**

Do you have any non-indian Country(ies) of Birth / Citizenship / Nationality and Tax Residency?  Yes  No

Sole/First Holder/Guardian <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		Second Holder <input type="checkbox"/> Yes <input type="checkbox"/> No		Third Holder <input type="checkbox"/> Yes <input type="checkbox"/> No	
Country of Birth	India	Country of Birth		Country of Birth	
Country of Citizenship/ Nationality	India	Country of Citizenship/ Nationality		Country of Citizenship/ Nationality	
Are you a US Specified Person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please provide Tax Payer Id	Are you a US Specified Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No Please provide Tax Payer Id	Are you a US Specified Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No Please provide Tax Payer Id
Country of Tax Residency* (Other then India)	Taxpayer Identification No.	Country of Tax Residency* (Other then India)	Taxpayer Identification No.	Country of Tax Residency* (Other then India)	Taxpayer Identification No.
1.		1.		1.	
2.		2.		2.	
3.		3.		3.	


\*Please indicate all countries in which you are a resident for tax purpose and associated Taxpayer identification number.

**FATCA - CRS Terms and Conditions**

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Trustline Securities Ltd. for any modification to this information promptly. I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

**Signatures**  19 .....  
Sole/First Holder Signature

 .....  
Second Holder Signature

 .....  
Third Holder Signature

## FATCA & CRS TERMS AND CONDITIONS - FOR INDIVIDUAL

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income tax Rules, 1962, which require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our unit holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the folio(s) or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Please note that you may receive more than one request for information if you have multiple relationships with us or our group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

In case investor has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, investor to provide relevant Curing Documents as mentioned below:

<b>FATCA/ CRS Indicia observed (ticked)</b>	<b>Documentation required for Cure of FATCA/ CRS indicia</b>
U.S. place of birth	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</li> <li>2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND</li> <li>3. Any one of the following documents:               <ol style="list-style-type: none"> <li>a. Certified Copy of "Certificate of Loss of Nationality or</li> <li>b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or</li> </ol>               Reason the customer did not obtain U.S. citizenship at birth             </li> </ol>
Residence/ mailing address in a country other than India	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</li> <li>2. Documentary evidence (refer list below)</li> </ol>
Telephone number in a country other than India	<p><b>If no Indian telephone number is provided</b></p> <ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</li> <li>2. Documentary evidence (refer list below)</li> </ol> <p><b>If Indian telephone number is provided along with a foreign country telephone number</b></p> <ol style="list-style-type: none"> <li>1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; OR</li> <li>2. Documentary evidence (refer list below)</li> </ol>
Standing instructions to transfer funds to an account maintained in a country other than India (other than depository accounts)	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</li> <li>2. Documentary evidence (refer list below)</li> </ol>

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body\*
2. Valid identification issued by an authorized government body\* (e.g. Passport, National Identity card, etc.)

\* Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.

## DECLARATION

I / We as a client of Trustline Commodities Pvt. Ltd. understand that

- Trustline Commodities Pvt. Ltd. is registered with SEBI to provide Portfolio Management Service ( PMS ) to the clients. Under the PMS the company provides PMS to the clients who register with them separately for PMS. The PMS is available only from the Company's Head Office through an investment committee. No employee, sub broker or Business Associate of the company is authorized to enter into any sort of arrangement with the client even if the client is registered under PMS. The minimum amount of investment under the scheme is Rs.25.00 Lacs.
- The cash payment is never accepted by Trustline. Only Account Payee cheques and other forms of payments like Bank Transfer etc are accepted by the company and that too in the account of the company.
- Trustline Commodities Pvt. Ltd. gives the services to the clients only to buy and sell securities through exchanges only. The Research Department of Trustline Securities Limited is registered with SEBI and gives advice on trading from time to time subject to the disclaimer on their website. Trustline only gives advice and recommendations. It is not necessary for any client to act on their advice. The clients are free to trade or not to trade on these recommendations.
- If any trade is executed by any client on unauthorized tips / news floating in the market Trustline Commodities Pvt. Ltd. will not be responsible in any manner whatsoever.
- No interest is paid by Trustline Commodities Pvt. Ltd. on the investments being made by the clients. The company never gives any assurance of any minimum returns on client's investments. Even the employees or Business Associates of Trustline Commodities Pvt. Ltd. are not authorized to make any such commitments.
- As per statutory guidelines I / We understand that I / We will not have any recourse to dispute redressal mechanism / arbitration mechanism / investor protection schemes of the Stock Exchanges / SEBI in case I/We avail the services under any schemes / leagues / competitions etc offered by any third party / group company / associate of the company.
- I / We should take seriously the sms, emails and other communications received from Trustline Commodities Pvt. Ltd. regarding trades done in my / our account and go through the same carefully. In case I / we are not able to understand and need any clarification regarding such communications I / We should immediately contact the Corporate office for clarifications. In case I / We do not give any reaction, the company will presume that all is proceeding smoothly.
- I / We should regularly log on to the website of the company and log into my / our account to know the details about the trades executed in my / our account. I / We can see the updated financial ledger and the stocks lying in my / our pool account and the DP. I / We should ensure we have the log in id and the password. In case I / we do not have I / We should obtain the log in id and the password from the Helpdesk of the company by contacting their contact number 0120-4663300 or their email id helpdesk@trustline.in.
- I / We should inform the company immediately in case any employee or Business Associate of the company offers any assurance of fixed returns and / or does not comply with the norms mentioned above.
- I / We should not make the payment in cash, should not trade on any guaranteed return commitment, should not trade on any unrealistic plans, should not take the PMS services without proper PMS registration with the company or should not deal with the employee / Business Associate of Trustline Commodities Pvt. Ltd. on any terms not approved by Trustline Commodities Pvt. Ltd.. If I / We do any of these actions I / We will be solely responsible for my / our decision.

Thanking you,

Your faithfully,

Client Signature:  20 .....

Client Name: Deena Kund .....

**CONSENT LETTER**

Date 05.10.2016

**Trustline Commodities Pvt. Ltd.**

Regd. Office : C-633, New Friends Colony, New Delhi-110025

Corp. Office : Trustline Tower, B-3, Sector-3, Noida-201301

Dear Sir

I wish to receive the copy of KYC, Rights & Obligations, Risk Disclosure Document, Do's and Don'ts, including my Supporting Documents signed by me in the following mode:

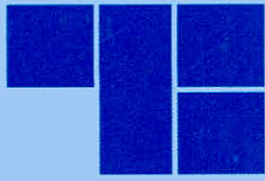
Physical       Electronic

Kindly send the copy to my correspondence address / mail to my address / mail id, which is mentioned in the KYC submitted to you.

Name of Client : Dona Nand

Client Signature  M. Aravind

Client Code : 1134403

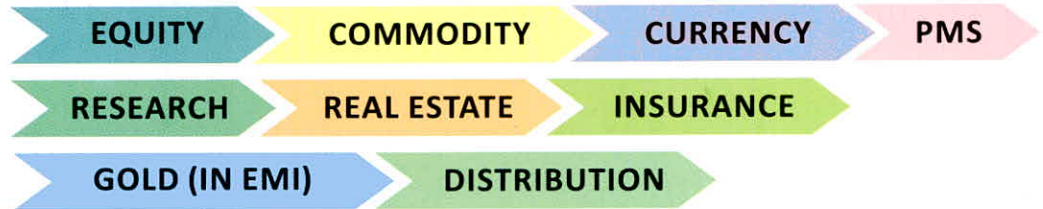


# TRUSTLINE

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## ONE STEP SOLUTION FOR:-



## NETWORK



### TRUSTLINE COMMODITIES PVT. LTD.

MCX Membership Code : 35350  
 NCDEX Membership Code : 00020  
 NMCEIL Membership Code : CL0217

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