

## MANDATORY DOCUMENTS

DOCUMENT	SIGNIFICANCE	PAGE(s)
Account Opening Form	a) KYC form - Document captures the basic information about the constituent and an instruction/check list. b) Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	3
Rights and Obligations	Provided to client	
Risk Disclosure Document (RDD)	Provided to client	
Guidance Note	Provided to client	
Policies and Procedures	Provided to client	
Tariff Sheet	Details the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	7
FATCA CRS Declaration	Client's self declaration on holding of overseas asset if any	10

## VOLUNTARY CLAUSE

DOCUMENT	SIGNIFICANCE	PAGE(s)
Authorization for Electronic Contract Notes	Letter of Authorization for Electronic Contract Notes.	8
Authorization of running account/request letter	Letter or authority/request to RKSV Commodities India Pvt. Ltd.	8

### REGISTERED OFFICE ADDRESS

RKSV Securities India Private Limited  
807, New Delhi House, Barakhamba Road  
Connaught Place, New Delhi, 110 011  
Telephone: +91-22-6130-9999  
Fax: +91-22-6710-7492  
Email: [contact@upstox.com](mailto:contact@upstox.com), [www.upstox.com](http://www.upstox.com)

### CEO (BSE/NSE)

Mr. Ravi Kumar  
Telephone: +91-22-6130-9999  
Email: [compliance@upstox.com](mailto:compliance@upstox.com), [www.upstox.com](http://www.upstox.com)

### COMPLIANCE OFFICER (BSE/NSE)

Mr. Amit Lalan  
Telephone: +91-22-6130-9999  
Email: [compliance@upstox.com](mailto:compliance@upstox.com), [www.upstox.com](http://www.upstox.com)

### COMPLIANCE OFFICER (DP)

Mr. Amit Lalan  
Telephone: +91-22-6130-9999  
Email: [compliance@upstox.com](mailto:compliance@upstox.com), [www.upstox.com](http://www.upstox.com)

### KYC PROCESSING OFFICE ADDRESS

RKSV Commodities India Private Limited  
Salasar Business Park,  
Off 150 Feet Flyover Road,  
Bhayander West,  
Thane,  
Maharashtra 401101  
Telephone: +91-22-6130-9999  
Fax: +91-22-6710-7492  
Email: [contact@upstox.com](mailto:contact@upstox.com), [www.upstox.com](http://www.upstox.com)

### SEBI | FMC REGISTRATION NUMBERS

SEBI | FMC Regn. No. INZ000015837  
|MCX: MCX/TM/CORP/2034  
Registration Date: Jan 22, 2016  
Clearing Member: ISSL Settlement & Transaction  
Services Limited, MCX: MCX/CM/CORP/108

For any grievance/ dispute please contact RKSV Commodities India Pvt. Ltd. at the above address and/ or email id: [complaints@rksv.in](mailto:complaints@rksv.in) and [complaints.mcx@rksv.in](mailto:complaints.mcx@rksv.in) and/ or Phone No. +91-22-6130-9999. In case you are not satisfied with the response, please contact the concerned exchange(s) at MCX at [[grievance@mcxindia.com](mailto:grievance@mcxindia.com) and Phone No. +91-22-6731-8888].

# INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

## (A) IMPORTANT POINTS

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

## (B) PROOF OF IDENTITY( POI): List of documents admissible as Proof of Identity:

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

## (C) PROOF OF ADDRESS (POA): List of documents admissible as Proof of Address: (\*Documents having an expiry date should be Valid on the date of submission.)

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

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

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

## (E) LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENTS:

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

## ADDITIONAL DOCUMENTS IN CASE OF TRADING IN DERIVATIVES SEGMENTS - ILLUSTRATIVE LIST

In respect of other clients, documents as per risk management policy of the Trading Member need to be provided by the client from time to time.

1. Copy of ITR Acknowledgement
2. Copy of Annual Accounts
3. In case of Salary Income – Salary Slip, Copy of Form 16
4. Net Worth Certificate
5. Copy of demat account holding statement.
6. Bank account statement for last 6 months
7. Self declaration with relevant supporting documents.
8. Any other relevant documents substantiating ownership of Assets.



**SECTION A DEALINGS THROUGH OTHER MEMBERS**

**IF CLIENT IS DEALING THROUGH ANY OTHER MEMBER, PLEASE PROVIDE THE FOLLOWING DETAILS  
(IN CASE DEALING WITH MULTIPLE MEMBERS, PROVIDE DETAILS OF ALL IN A SEPARATE SHEET CONTAINING  
ALL THE INFORMATION AS MENTIONED BELOW)**

MEMBER/AUTHORIZED PERSON NAME:	EXCHANGE:	EXCHANGE REGISTRATION NUMBER:	
CONCERNED MEMBER'S NAME WITH WHOM AP IS REGISTERED:		CLIENT CODE:	
REGISTERED OFFICE ADDRESS:	CITY:		
STATE:	COUNTRY:	TELEPHONE:	FAX:
EMAIL ID (As mentioned on Page 3):	DETAILS OF DISPUTES/DUES PENDING FROM/TO SUCH MEMBER/AP:		
WEBSITE:			

**SECTION B VAT DETAILS (AS APPLICABLE, STATE WISE)**

LOCAL SALES TAX REGISTRATION NUMBER:	
VALIDITY DATE (DD/MM/YYYY) <input type="text"/>	NAME OF THE STATE:
OTHER SALES TAX REGISTRATION NUMBER:	
VALIDITY DATE (DD/MM/YYYY) <input type="text"/>	NAME OF THE STATE:

**SECTION C SALES TAX REGISTRATION DETAILS**

LOCAL SALES TAX REGISTRATION NUMBER:	
VALIDITY DATE (DD/MM/YYYY) <input type="text"/>	NAME OF THE STATE:
CENTRAL SALES TAX REGISTRATION NUMBER:	
VALIDITY DATE (DD/MM/YYYY) <input type="text"/>	NAME OF THE STATE:
OTHER SALES TAX REGISTRATION NUMBER:	
VALIDITY DATE (DD/MM/YYYY) <input type="text"/>	NAME OF THE STATE:

**SECTION D INVESTMENT/TRADING EXPERIENCE AND ADDITIONAL DETAILS**

<input type="checkbox"/> NO PRIOR EXPERIENCE IN TRADING / INVESTMENT	
NUMBER OF YEARS OF COMMODITIES EXPERIENCE:	YEARS OF EXPERIENCE IN OTHER INVESTMENT FIELDS:
CONTRACT NOTE PREFERENCES <input type="radio"/> ELECTRONIC CONTRACT NOTE (ECN) <input type="radio"/> PHYSICAL CONTRACT NOTE	EMAIL ADDRESS:

**SECTION E INTRODUCER DETAILS (OPTIONAL)**

INTRODUCER'S NAME:	INTRODUCER'S RELATIONSHIP:	
INTRODUCER'S STATUS: <input type="radio"/> EXISTING CLIENT <input type="radio"/> AUTHORIZED PERSON <input type="radio"/> SUB-BROKER <input type="radio"/> REMISIER <input type="radio"/> OTHERS, PLEASE SPECIFY _____		
INTRODUCER'S ADDRESS:		
INTRODUCER'S PHONE NUMBER:	INTRODUCER'S CLIENT ID:	<b>INTRODUCER'S SIGNATURE</b>

**PLEASE SIGN BELOW ATTESTING TO ALL THE INFORMATION ON THIS PAGE**

CLIENT'S NAME:	
<b>CLIENT'S SIGNATURE [3]</b> <input checked="" type="checkbox"/>	DATE (DD/MM/YYYY) <input type="text"/>

# TRADING ACCOUNT RELATED DETAILS

## SECTION F

### PRIMARY BANKING ACCOUNT

BANK NAME

BRANCH ADDRESS

CITY/TOWN/VILLAGE

PIN CODE

STATE

COUNTRY

ACCOUNT NO.

MICR NUMBER

IFSC CODE

ACCOUNT TYPE  CURRENT  SAVINGS  NRI / NRE / NRO  OTHERS (Please Specify) \_\_\_\_\_

## SECTION G

### OTHER DETAILS

GROSS ANNUAL INCOME RANGE

- BELOW 1 LAC  1 - 5 LAC  5 - 10 LAC  
 10 - 25 LAC  OVER 25 LAC

OR

NET WORTH ON DATE (NOT OLDER THAN 1 YEAR)

VALUE \_\_\_\_\_

DATE (DD/MM/YYYY) \_\_\_\_\_

FOR NON INDIVIDUALS:  25 LAC - 1 CRORE  OVER 1 CRORE

AFFILIATIONS:  POLITICALLY EXPOSED PERSON (PEP)  RELATED TO A POLITICALLY EXPOSED PERSON (RPEP)

OCCUPATION:

- PRIVATE SECTOR SERVICE  PUBLIC SECTOR  PROFESSIONAL  HOUSEWIFE  STUDENT  
 GOVERNMENT SERVICE  AGRICULTURIST  BUSINESS  RETIRED  OTHER \_\_\_\_\_

ANY OTHER INFORMATION

## SECTION H

### TRADING PREFERENCES

COMMODITY FUTURE

**CLIENT'S SIGNATURE [4A]** X

COMMODITY OPTION

**CLIENT'S SIGNATURE [4B]** X

DATE (DD/MM/YYYY) \_\_\_\_\_

## SECTION I

### PAST ACTIONS

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

## SECTION J DETAILS OF RELATED PERSON (RP) (In case of additional related persons, please fill Annexure B1') (Please refer instruction G at the end)

Addition of RP  Deletion of RP KYC Number of RP (if available\*) \_\_\_\_\_

RP Type\*

- Guardian of Minor  Assignee  Authorized Representative

Prefix

First Name

Middle Name

Last Name

Name\*

(If KYC number and name are provided, Proof of identity of RP required)

## SECTION K

### NOMINATION DETAILS (FOR INDIVIDUALS ONLY)

I WISH TO NOMINATE THE FOLLOWING PERSON  I DO NOT WISH TO HAVE A NOMINEE

NOMINEE'S NAME:

RELATIONSHIP WITH THE NOMINEE:

NOMINEE'S ADDRESS:

NOMINEE'S PHONE NUMBER:

NOMINEE'S PAN CARD NUMBER

NOMINEE'S DATE OF BIRTH (DD/MM/YYYY)

**IF NOMINEE IS A MINOR, PLEASE PROVIDE DETAILS OF HIS/HER GUARDIAN**

GUARDIAN'S NAME:	GUARDIAN'S ADDRESS:
GUARDIAN'S PHONE NUMBER:	GUARDIAN'S SIGNATURE:

**TWO WITNESSES ARE REQUIRED TO ATTEST IF YOU WANT TO NOMINATE A PERSON**

PRIMARY WITNESS' NAME:	PRIMARY WITNESS' ADDRESS:
PRIMARY WITNESS' PHONE NUMBER:	PRIMARY WITNESS' SIGNATURE:
SECONDARY WITNESS' NAME:	SECONDARY WITNESS' ADDRESS:
SECONDARY WITNESS' PHONE NUMBER:	SECONDARY WITNESS' SIGNATURE:

**PLEASE SIGN BELOW ATTESTING TO ALL THE INFORMATION ON THIS PAGE**

CLIENT'S NAME:	
<b>CLIENT'S SIGNATURE [5]</b> X _____	DATE (DD/MM/YYYY) <input type="text"/>

**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 document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on stock broker's designated website, if any.

CLIENT'S NAME	PLACE
<b>CLIENT'S SIGNATURE [6]</b> X _____	DATE (DD/MM/YYYY) <input type="text"/>

**FOR OFFICE USE ONLY**

CLIENT'S UCC CODE	EMPLOYEE CODE:	EMPLOYEE DESIGNATION:
<b>VERIFICATION OF DOCUMENTS</b>		
DOCUMENTS VERIFIED BY:	EMPLOYEE DESIGNATION:	ON DATE (DD/MM/YYYY) <input type="text"/>
EMPLOYEE SIGNATURE:	EMPLOYEE CODE:	
<b>CLEINTS INTERVIEW</b>		
CLIENT INTERVIEWED BY	EMPLOYEE DESIGNATION:	ON DATE (DD/MM/YYYY) <input type="text"/>
EMPLOYEE SIGNATURE:	EMPLOYEE CODE:	
<b>IN PERSON VERIFICATION (IPV)</b>		
IPV PERFORMED BY	EMPLOYEE DESIGNATION:	ON DATE (DD/MM/YYYY) <input type="text"/>
EMPLOYEE SIGNATURE:	EMPLOYEE CODE:	

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

SIGNATURE OF THE AUTHORISED SIGNATORY	DATE (DD/MM/YYYY) <input type="text"/>	SEAL/STAMP OF THE INTERMEDIARY
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## TARIFF SHEET

TO: RKSV Commodities India Private Limited

Dear Sir or Madam,

I would like to subscribe to the RKSV Commodities India Pvt. Ltd for trading and demat account and request RKSV Commodities India Pvt. Ltd. to apply brokerage charges as mentioned and as per the terms and conditions of RKSV Commodities India Pvt. Ltd.

### BROKERAGE CHARGE

Account opening fee	Free	Rs. 149/- [Trading+DP] +GST	Rs. 249/- [Trading+DP] +GST
		Rs. 499/- [Trading+DP] +GST	Rs. 999/- [Trading + DP] + GST

- Brokerage - Basic 0.05% or RS 20/- per order traded Whichever is lower ; For option Rs. 20 per order traded Priority
- Pack 0.10% or RS 30/- per order traded Whichever is lower ; For option Rs. 30 per order traded

### STATUTORY CHARGES

In addition to the above monthly subscription charges, the following statutory charges will also be levied at actuals: Commodities Transaction Tax, Transaction Charges, Stamp Duty, SEBI Turnover Fees, Clearing Member Charges and GST. Electronic Contract Notes are free. In case of any request for Physical Contract note, the Contract Note copies will be charged at Rs. 50 per contract note (for ECN clients) + Courier charges as applicable. Depository Participant charges as levied by RKSV. Terms and Conditions can be subject to change provided the same is done as for applicable guidelines of SEBI/exchange.

The terms and conditions of the RKSV Commodities India Pvt. Ltd. plans have been read and understood by me. I wish to avail the plans below provided by RKSV Commodities India Pvt. Ltd. for my trading account subject to the terms and conditions mentioned above.

I declare that I have read and understood the terms and conditions governing the RKSV Commodities India Pvt. Ltd.

Note: Brokerage is also charged on expired, exercised and assigned Futures and Options contracts.

Yours faithfully,

CLIENT'S NAME

**CLIENT'S  
SIGNATURE [7]** X

DATE (DD/MM/YYYY)

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### FOR OFFICE USE ONLY

CLIENT'S TRADING ACCOUNT NUMBER



**LETTER FOR AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES & AUTHORIZATION FOR RUNNING ACCOUNT**

**TO:** RKS Commodities India Private Limited,  
30th Floor, Sunshine Tower, Senapati Bapat  
Marg, Dadar (W), Mumbai - 400 013

**SUB:** Authorization for Electronic Contract Notes & AUTHORIZATION FOR RUNNING ACCOUNT

I have been/shall be dealing through you as my broker on the Capital Market and/or Futures & Options and/or Currency Derivatives and/or Interest Rate Futures Segments. As my broker i.e. agent I direct and authorize you to carry out trading/dealings on my behalf as per instructions given below.

I understand that, I have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I hereby opt to receive contract notes in electronic form. I understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account /email id on your record for sending the contract notes to me:

**EMAIL ADDRESS (Same as mentioned on Page 3):** \_\_\_\_\_

1. I also agree that non-receipt of bounced mail notification by you shall amount to delivery at my email account /email id.
2. I agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.
3. I agree that the log reports of your dispatching software shall be a proof of dispatch of contract notes to me and such dispatch shall be deemed to mean receipt by me and shall not be disputed by me on account of any non-receipt/delayed receipt for any reason whatsoever.
4. I understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I am an internet client then in that event the request for change in email id/email account can be made by me through a secured access using client specific user id and password. Please treat this authorization as written ratification of my verbal directions/authorizations given and carried out by you earlier. I shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my directions given above.
5. I understand that, you shall send physical copy of the contract note within 24 hours if you received a bounced email.
6. I am a registered client with you, and am dealing in Commodity Market segment(s), and have a RKSCommoditiesIndia Pvt. Ltd. client code as mentioned below.
7. I am aware that payout / dividend received / credited from the exchange(s) against settlement of transaction as per settlement cycle is available within 1 working day of the payout from the Exchange. It is difficult for me to make available the required funds on every pay-in of funds obligation / margin obligation, hence I request you to maintain my account on a running basis and retain the payout received / credit balance in my account for my future obligation / margin obligation or other liabilities unless I instruct otherwise.
8. I hereby further authorize you to debit / credit / transfer the amounts between the various segments either on the same Exchange and / or Exchanges to meet my/our obligation or various dues payable to you / Exchange(s).
9. If payment of funds is required, I shall request you in writing or through the web option for funds withdrawal on the web login. Further it may be noted that if required I may revoke this authorization at any time after giving request in writing.
10. This running account authorization would continue until it is revoked by me. The actual settlement of funds shall be done at least once in the preference period selected below:  QUARTERLY  MONTHLY
11. While settling the account having outstanding obligations on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. You may further retain sum of rupees 10,0000/-
12. I shall bring any dispute arising from the statement of account or settlement so made to your notice within 30 working days from the date of receipt of funds or statement, as the case may be else it will be final

Yours faithfully,

CLIENT'S NAME

**CLIENT'S SIGNATURE [8] X** \_\_\_\_\_

DATE (DD/MM/YYYY) | | | | | | | |

**FOR OFFICE USE ONLY**

Verification of the Client Signature done by:

DESIGNATED OFFICER SIGNATURE

DATE (DD/MM/YYYY) | | | | | | | |

DESIGNATED OFFICER NAME:

CLIENT'S UNIQUE CLIENT CODE:



## ACKNOWLEDGEMENT LETTER

TO: RKSV Commodities India Private Limited  
30th Floor, Sunshine Tower,  
Senapati Bapat Marg,  
Dadar (W),  
Mumbai - 400 013

Dear Sir / Madam,

I/We hereby acknowledge receipt of the following documents

1. Rights and Obligations of Members, Authorised Persons and Clients
2. Risk Disclosure Document
3. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors
4. General Terms and Conditions and the policy and procedures governing the commodity trading and broking services of RKSV Commodities India Pvt. Ltd.

I/We understand that the Voluntary documents executed by me/us are out of my/our own free will.

I/We hereby confirm that I/We have clearly understood and agree to abide by the Terms and Conditions described by RKSV Commodities India Pvt. Ltd (RKSV). I/We also understand that these general Terms and Conditions can be changed by RKSV from time to time with prior notice of 7 days and subject to posting of the amendments and modifications therein on its website and their applicability with prospective effect.

I/We state that I have read and understood all above documents including the Terms and Conditions governing commodities trading and broking services of RKSV Commodities India Pvt. Ltd. and agree to abide by the same.

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

I/We acknowledge receipt of information given above by RKSV Commodities India Pvt. Limited that they do Client based trading and Proprietary trading and they are not indulged in portfolio management services.

Yours faithfully

CLIENT'S NAME											
<b>CLIENT'S SIGNATURE [9]</b> X _____	DATE (DD/MM/YYYY) <table border="1"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>										

## FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

Please fill the information below as requested

Name of the Account Holder

Indicate ( ) your Tax Residency /  
Citizenship / Nationality

India  U.S.A  Others

**If ticked on “Others” and/or “U.S.A”, please provide all details under point no. 2,3,4,5 below:**

Specify City and Country of Birth

Specify Country(ies) of Tax Residency/  
Citizenship / Nationality /  
Green card holder, other than India

Tax Identification Number (for U.S.A.)  
or its functional equivalent (other  
than U.S.A.)

Source of Wealth

Salary  Business  
 Gift  Rental Income  
 Royalty  Ancestral Property  
 Prize Money  Others

### DECLARATION

I / We hereby declare, agree and confirm the following:

- a) The details furnished above are true to the best of my knowledge and belief and shall undertake to inform RKSV CommoditiesIndia Private Limited within 30 days, in case of any change in the above given status on a future date;
- b) If I /we am/are U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details, would be reported by RKSV CommoditiesIndia Private Limited to the relevant tax authority. or information may be shared with concerned Asset Management Companies (AMCs) or to any of the Government Agencies / Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India;

**CLIENT'S SIGNATURE [10]**

X

#### What is FATCA / CRS?

The U.S. government introduced the Foreign Account Tax Compliance Act, 2010 (FATCA) for obtaining information on accounts held by U.S. taxpayers in other countries. Further, Organization for Economic Co-operation & Development (OECD) and G20 countries agreed for automatic exchange on information through Common Reporting Standards (CRS). The Government of India has signed an Inter-Government Agreement (IGA) with US and has also joined the Multilateral Competent Authority agreement (MCAA) for automatic sharing of information with member countries of OECD and G20. By virtue of India signing an IGA with US and joining MCAA, Indian financial institutions will have to provide the required financial information to Indian tax authorities which in turn would forward reportable information to US IRS and member countries of OECD and G20 countries.

**US Person means:** In case of individuals, U.S. person means a citizen or resident of the United States. Persons who would qualify as U.S. persons could be born in United States, born outside the United States of a US parent, Naturalized citizens, Green Card Holders, tax residents.

#### Who is Reportable Person (Non US) under Common Reportable Standards (CRS)?

Under Common Reportable Standards (CRS), reportable person means Tax residents of a reportable foreign jurisdiction other than U.S. (Please note the above information is provided only for quick reference to customers. You are requested to consult a legal/ tax advisor if in doubt.)

#### Documents to be collected if Customer’s Country of birth is U.S. but declare that he/ she are not a U.S. person

1. Certificate of relinquishment of citizenship (Loss of nationality certificate); OR
2. Self certification for stating reasons for not having such a certificate despite relinquishment U.S. citizenship; OR
3. Self certification for stating reasons for not obtaining U.S. citizenship at birth.

**PART A: INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS 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. Trading Member is eligible for providing Internet based trading (IBT) and securities 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 Trading Member shall comply with all requirements applicable to internet based trading/ securities using trading wireless technology as may be specified by SEBI & the Exchanges from time to time
2. The client is desirous of investing/ trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Trading Member shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/ SEBI.
3. The Trading Member shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ internet/ smart order routing or any other technology should be brought to the notice of the client by the Trading Member
4. The Trading Member shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/ SEBI.
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 Stock broker's System IBT 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/securities 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 Trading Member
6. The Client shall immediately notify the Trading Member in writing if he forgets his password, discovers security flaw in Stock Broker'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/ securities 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 Trading 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 Trading 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 Trading Member and the Exchange do not make any representation or warranty that the Stock broker'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 Trading Member on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker'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/ Stock brokers/ Exchange end for any reason beyond the control of the Trading Member/ Exchanges

CLIENT'S NAME	
<div style="border: 1px solid black; padding: 5px;"> <p><b>CLIENT'S SIGNATURE</b> [11] X _____</p> </div>	<p>DATE (DD/MM/YYYY)                    </p>

## DECLARATION FOR NAME MISMATCH

(To be filled if the name on documents is different)

This is to bring to your notice that my name is spelt differently in my Identity proof, Address proof and Bank proof. Please find below the names as spelt in respective proofs:

<b>Name as per Income Tax</b>	
<b>Name as per Bank Proof</b>	
<b>Name as per Address Proof</b>	
<b>Name as per Income Proof</b>	

I hereby confirm that all the said names belong to me. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep RKSX Securities India Pvt. Ltd. / RKSX Commodities India Pvt. Ltd. indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by RKSX Securities India Pvt. Ltd. / RKSX Commodities India Pvt. Ltd. for any act done or omitted to be done on the above declaration.

**CLIENT'S SIGNATURE [12]**  X