

CLIENT REGISTRATION FORM INDIVIDUAL



PROFITMART COMMODITIES BROKING PVT. LTD (Formerly known as M3 Multiple Commodities Pvt. Ltd.)

Branch Name		Version	1.6 August 2016
Branch Code		Form No	
AP Name:		Client Code	
AP Code:		Client Name	

INDEX OF DOCUMENTS

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MANDATORY DOCUMENTS AS PRESCRIBED BY FMC/SEBI & EXCHANGES			
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2.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the Commodity Exchange(s) (to be added by the member).	5
3.	Uniform Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the commodities market.	Separate Copy For Client
4.	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).	
5.	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.	
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For any grievance/dispute please contact **Profitmart Commodities Broking Pvt. Ltd.** at the above address or email id- Email :grievance@profitmart.in and Phone no. 022-67920000. In case not satisfied with the response, please contact for **MCX:** E-mail id:-grievance@mcxindia.com and Phone no. +91-22-67318888

PROFITMART COMMODITIES BROKING PVT. LTD. caters to Institutional, Corporate, High networth and other retail clients through membership of various exchanges.

PROFITMART COMMODITIES BROKING PVT. LTD. besides doing client based business also does its own investment and/or trading.


PROFITMART COMMODITIES BROKING PVT. LTD.

“Proprietary Trading Disclosure noted”

Client Name : _____

Director/Authorised Signatory

Client Code : _____

Signature of Client :  (1/15) _____

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

IMPORTANT POINTS:

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

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

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

C. Proof of Address (POA): - *List of documents admissible as Proof of Address:*

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

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

D. Exemptions to PAN

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

1. Transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.

2. Investors residing in the State of Sikkim (subject to the continued exemption granted by Government).

E. List of people authorized to attest the documents:

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

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

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

A. Identity Details (please see guidelines overleaf)

1. Name of the Applicant (As appearing in supporting identification document)
Name

2. Father's / Spouse Name

3. a. Gender Male Female b. Marital Status Single Married

c. Date of Birth

D	D	M	M	Y	Y	Y	Y
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 4. a. Nationality Indian Other _____

b. Status (please Tick ✓): Resident Individual Non Resident Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. a. Pan No. :

 Please enclose a duly attested copy of your PAN Card

b. Unique Identification Number (uid)/ Aadhaar, If Any: _____

6. Proof of Identity submitted for PAN exempt cases Please Tick ✓ (Please see guideline 'D' overleaf)
 UID (Aadhaar) Passport Voter ID Driving Licence Others _____

Photograph

Please affix the recent passport size photograph and sign across it

(2/15)

B. Address Details

1. Address for Correspondence Residence :

City/Town/Village _____ Pin Code _____
State _____ Country _____

2. Contact Details

Tel. (Off.)	(ISD)	(STD)	Tel. (Res.)	(ISD)	(STD)
Mobile	(ISD)	(STD)	Fax	(ISD)	(STD)
Email ID					

3. Specify the proof of Address Submitted for Residence / Correspondence Address: _____

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant.

City/Town/Village _____ Pin Code _____
State _____ Country _____

5. Specify the proof of Address Submitted for Residence / Permanent Address: _____

DECLARATION

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

Place: _____ Date: _____

SIGNATURE OF APPLICANT

(3/15)

FOR OFFICE USE ONLY

IPV Done on

d	d	/	m	m	/	y	y	y	y
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PROFITMART COMMODITIES BROKING PVT. LTD.

- (Originals Verified) and Self Certified Document copies received
 (Attest) True copies of documents received Main Intermediary

Staff Name _____
Designation _____
Name of the Organization _____
Signature _____

Seal / Stamp intermediary

Name & Signature of the Authorized Signatory

OTHER DETAILS

GROSS ANNUAL INCOME DETAILS (Please specify)

Income Range Per Annum (Rs. in Lakhs)

- <1 1-5 5-10 10-25 > 25
 25-1 Crore >1 Crore

Networth : (Networth should not be older than 1 year)

Amount (Rs.) _____ As on date |d|m|y|y|y|y|

Occupation Details

- Private Sector Public Sector Govt. Service Business Professional
 Farmer Others (Specify) _____

If the following is additionally applicable to you. Please tick (✓) one or more as applicable

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

PLEASE PROVIDE DETAILS OF YOUR BANK

Bank Name	
Branch Name & Address	
Bank A/c No.	
A/c Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> Others (Pl. Specify)
MICR Code	
IFSC Code	

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.


SALES TAX REGISTRATION DETAILS

Local Sales Tax State Registration No. :	
Validity Date	
Name of the State	
Central Sales Tax Registration No	
Validity Date	
Other Sales Tax State Registration No. :	
Validity Date	
Name of the State	

VAT DETAILS

	State	Registration No.	Validity Date
Local VAT			
Other VAT			

TRADING PREFERENCES

Name of the Commodity Exchange	Date of consent for trading on concerned Exchange	Signature of the Client/ Authorized Signatory
MCX		 (5/15)

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

[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]

INVESTMENT/TRADING EXPERIENCE

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

ADDITIONAL DETAILS

Whether you wish to receive communication from member in electronic form on your email ID (if yes then fillup the undertaking & email confirmation) Yes No

Whether you wish to avail of the facility of internet trading Yes No

PAST REGULATORY ACTIONS

Details of any action/proceedings initiated/pending/ taken by FMC/ SEBI / Stock exchange/Commodity exchange/any other authority against the client during the last 3 years: _____

DEALINGS THROUGH OTHER MEMBERS

If client is dealing through any other Member, provide the following details (in case dealing with multiple Members, provide details of all in a separate sheet containing all the information as mentioned below) :

Member's / Authorized Person (AP)'s Name			
Exchange		Exchange's Registration number	
Concerned Member's Name with whom the AP is registered:			
Registered office address:			
Phone No. (with STD Code)		Email	
Fax No. (with STD Code)		Website	
Client Code			
Details of disputes/dues pending from/to such Member/AP: _____			

DEPOSITORY ACCOUNT DETAILS

DP Name	Depository Name (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.

DETAILS OF COLLATERAL SECURITIES DEPOSITED

Collateral Details	Collateral's Declared Value	% Haircut	Assigned Value
Cash			
Marketable Securities			
Bank Guarantees			
Immovable Property			
Jewellery			
Others (Specify)			

INTRODUCER'S DETAILS

Name			
Status of the Introducer	<input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Employee <input type="checkbox"/> Others, please specify _____		
Address			
Signature		Phone No.	

NOMINATION DETAILS

I/We wish to nominate I/ We do not wish to nominate

Name of the Nominee							
Name of the Nominee							Relationship with the Nominee
PAN of Nominee							Date of Birth of Nominee
	D	D	M	M	Y	Y	Y
Address							
Phone No. (with STD Code)							Mobile

If Nominee is a minor, details of guardian:

Name of guardian							
Address							Phone No. (with STD Code)
Signature of guardian							Mobile

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

Name _____	Name _____
Signature _____	Signature _____
Address _____	Address _____

BROKERAGE FOR TRADING ACCOUNT (Tariff)

Type	Brokerage %	Charge On
Trading		<input type="checkbox"/> One Side <input type="checkbox"/> Both Side
Delivery		

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 change therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
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 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Do's and Dont's'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on Member's designated website, if any.

Place: _____ Date: _____

(8/15)
Signature of Client

FOR OFFICE USE ONLY

UCC Code allotted to the Client:

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

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

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

Signature of the Authorised Signatory


Date _____

Seal/Stamp of the Member

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 an 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/Member's/Exchange end for any reason beyond the control of the Member/Exchanges.

Client Signature:  (10/15) _____

VOLUNTARY POLICIES

A. Digitally Signed contract Notes/ Confirmations


Digitally Signed contract Notes/ Confirmations The member shall send the contract notes, trade confirmations, bills, account statement, notice, circular, ledger confirmation, margin statement, demat account holding statement and all other communication on the designated Email Id of the client who have opted to receive contract notes in electronic form.

B. Tape recording of conversation

Member would like to inform Client that member may tape record the conversation between the client and the member for the compliance purpose

C. Display of policy and other information on website of Member/ Exchange/ FMC.

Client is aware that the policies/ procedures of the member and other information are regularly hosted on the website of the member and he shall ensure to keep himself updated with the same. Client is also aware that Investor grievance email ID, Policy & Procedures, Copy of Standard KYC, Risk Management Policy, Literature of AML requirement, Links to website of FMC and stock Exchanges of which Stock Broker is a member, other Information that a trading member is required to furnish to his clients is hosted on member's website as well as available on demand from member's office.

Client Signature:  (11/15) _____

AUTHORITY LETTER FOR RUNNING ACCOUNT

PROFITMART COMMODITIES BROKING PVT. LTD.

(Formerly known as M3 Multiple Commodities Pvt. Ltd.)
328, Champaklal Industrial Estate,
Near MTNL Office, Sion Circle,
Sion (E), Mumbai – 400 022.

I/We as a Client in Commodities market Segment of MCX hereby authorize PROFITMART COMMODITIES BROKING PVT. LTD. for the following:

That to maintain a running account, instead of settlement to settlement clearance of funds /commodities due to me/us. In this regards, I/We have been informed about the relevant circulars of Exchange/FMS/SEBI and I/We have read and understood the same. I/we hereby authorize M# Multiple to maintain a running account in all segment across the exchange (MCX)

I/we hereby confirm you to settle my/our account of Funds and commodities once in

A Calendar Quarter A calendar Month (STRIKE OFF WHICHEVER IS NOT APPLICABLE)

Such settlement will be done on any day at its discretion in a calendar month or quarter (hereinafter referred as "settlement period") as the case may be if my/our account turn into on any day during the settlement period, the same may be treated as settlement of fund for that settlement period M3 Multiple will not be required to settle the credit if any arising subsequently during the settlement period. I/we agree that I/we shall be liable to pay the debit standing to my account on the settlement date or any other date.

I/we authorize you to withhold any credit balance as collateral /margin against my/our future trades/obligation and or adjust outstanding fund/ commodities receivable from you against my/our purchase in subsequent settlement with no interest accruing on the above fund /securities.


I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my/our dues, by appropriating relevant amount of fund or by the same of commodities or by liquidating the open position which form part of margin.

I/we agree that in respect of derivatives market transaction, the member may retain the requisite collaterals/ securities/funds on settlement date to take care of any margin obligation arising in next 5 days, calculated in the manner specified by the exchange.

That to keep my/our commodities purchased from you, in your margin account and to deliver and/or adjust said commodities against our sales in subsequent settlement i.e. inter transferring the commodities from one settlement (Purchase) to another settlement (Sales) segment of exchanges unless you receive any verbal or written instruction from me/us to deliver the same to my/our depository account. Similarly , I/we authorize you to issue the cheque against our fund pay out after getting the telephonic or written instruction from me/us, otherwise the same will remain with you against my/our margin obligation towards commodities segments.

I/we confirm you that I/we will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds / commodities or statement of account related to it, as the case may be at your registered office. After that I/we shall no right to dispute the transaction, funds and or commodities ever and agree that you shall not be liable for any incidental loss/ Damage caused due to retention of funds and / or commodities.

I/we further declare that this authorization will remain in force unless revoked earlier by me/us in writing.

Client Signature:  (12/15) _____

Client Name : _____

Date : ____ / ____ /20 ____

Client Code : _____

To,

PROFITMART COMMODITIES BROKING PVT. LTD.

(Formerly known as M3 Multiple Commodities Pvt. Ltd.)

328, Champaklal Industrial Estate,

Near MTNL Office, Sion Circle,

Sion (E), Mumbai – 400 022.

Dear Sirs,

Subject: My/Our request for trading in Commodity forward Contracts / commodity derivatives on MCX as your client


I/We, the undersigned, have taken cognizance of circular no. MCX/338/2006 dated August 21, 2006 and circular no. MCX/541/2006 dated December 7, 2006 issued by the Multi Commodity Exchange of India Limited (MCX) on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by MCX or Forward Markets Commission and such position limits will be calculated in accordance with the contents of above stated circular of MCX as modified from time to time.

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

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

Yours faithfully

Client Signature:  (13/15) _____

DECLARATION/LETTER OF AUTHORITY

To,

PROFITMART COMMODITIES BROKING PVT. LTD.


(Formerly known as M3 Multiple Commodities Pvt. Ltd.)

328, Champaklal Industrial Estate,

Near MTNL Office, Sion Circle,

Sion (E), Mumbai – 400 022.

1. I/We hereby authorize PROFITMART not to provide me Order Confirmation / Modification / Cancellation Sips and Trade Confirmation Slips to avoid unnecessary paper work. I/We hereby request PROFITMART to kindly accept my/our mandate holder's verbal orders/instructions in person or over phone and execute the same. I/We shall get the required details from the contract notes issued by you. I/We understand the risk associated with placement of verbal orders and accept the same. I/We shall not disown orders under the plea that the same was not placed by me.
I/We indemnify PROFITMART and keep you indemnified against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my/our orders placed verbally. In case I wish to withdraw this consent I shall inform PROFITMART in writing and get the same acknowledged by PROFITMART at least one week in advance from the date of withdrawal.
2. I/We hereby authorize PROFITMART to deposit collateral/commodities received from me/us or purchased through PROFITMART lying in my/our account to the Exchange(s) or their custodian appointed by them for the purpose of margin/other obligation and/or to facilitate my/our transaction in the normal course of business. Further, PROFITMART shall release the collaterals/commodities to me/us on my/our request, if the same is releasable to me/us.
3. Trading of all Exchanges is in Electronic Mode, based on VSAT, Leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. We understand that here exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing of buy or sell orders either in part or in full. I/We shall be fully liable and responsible for any such problems/fault.
4. I/We agree not to hold PROFITMART liable or responsible for delay or default in performance of your obligations due to contingencies beyond your control such as fire, flood, civil commotion, earthquake, riots, war strikes, failure of systems, failure of internal links, government/regulatory actions or any other contingencies beyond your control.
5. I/We hereby confirm that I/We never sublet the trading terminal on any term of connectivity, from my/our place to any other place without your prior approval.
6. I/We am/are agreeable for inter-settlement transfer of commodities towards settlements.
7. I/We am/are agreeable for & authorize PROFITMART to with hold funds pay-out towards all applicable margins and debits.
8. All fines/penalties and charges levied upon PROFITMART due to my acts/deeds or transactions may be recovered by PROFITMART from my account.
9. Any queries related to commodities/collaterals delivered by PROFITMART, would be brought to the notice of PROFITMART within two days of the receipt of such in my/our Warehouse or otherwise it can be presumed that I/We have checked all the collaterals/commodities received by me/us and that they are good as per the prevailing norms.
10. Any queries related to my/our Contract cum Bill, shall be brought to the notice of the PROFITMART within 24 hours of the receipt of Contract cum Bill, however not after the 4 days from the execution of the trade.
11. PROFITMART is hereby advised to keep these instructions in force unless specifically informed by me/us in writing.
12. I/We hereby reconfirm and accept all the terms & conditions mentioned hereinabove.
13. I/We will be extending all co-operation to PROFITMART in their endeavour towards Anti-Money Laundering. PROFITMART may initiate any enquiry against me/us and/or my/our transactions any time without any legal implication whatsoever against them.
14. I/We understand that information about me/us and my/our transactions may be reported by PROFITMART to FIU/ concerned authorities without any intimation to me/us and have no objection to the same.

Client Signature:  (14/15) _____

**Electronic Contract Note [ECN] – DECLARATION
(VOLUNTARY)**

Appendix A

To,

PROFITMART COMMODITIES BROKING PVT. LTD.

(Formerly known as M3 Multiple Commodities Pvt. Ltd.)
328, Champaklal Industrial Estate,
Near MTNL Office, Sion Circle,
Sion (E), Mumbai – 400 022.

Dear Sir,

I, _____ a client with Member M/s. M3 Multiple Commodities Pvt. Ltd of Multi Commodity Exchange of India Ltd. (MCX) undertake as follows:

- I/We aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I/We want the same in the electronic form.
- I/We 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/We have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is * _____. This has been created by me and not by someone else.
- I/We aware that this declaration form should be in English or in any other Indian language known to me.
- I/We 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/We aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same


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

Client Name: _____

Unique Client Code : _____

PAN: _____

Address : _____

Signature of the client  (15/15) _____

Date : _____

Place: _____

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

For PROFITMART COMMODITIES BROKING PVT. LTD.

Signature _____

Date: _____



PROFITMART

PROFITMART COMMODITIES BROKING PVT. LTD (Formerly known as M3 Multiple Commodities Pvt. Ltd.)

Member : Multi Commodity Exchange of India Ltd. (MCX)
Membership No. : 40885 FMC No. : MCX/TCM/CORP/0376

Name of Stock Broker/ Trading Member /	PROFITMART COMMODITIES BROKING PVT. LTD.
Corporate Office	328, 3rd Floor, Champak Lal Industrial Estate, Near MTNL Office, Near Sion Circle, Sion, Mumbai – 400 022. • Phone: +91-22-6792 0000 • Fax: +91-22-6792 0099. • URL: www.m3multiple.com • Email: m3multiple.com • CIN No: U51398MH2010PTC203210
Compliance Officer Name: Phone No. & E-mail Id:	Nayan Bhandari 022 - 6792 0000 • compliance@m3multiple.com
Director's Name Phone No. & E-mail Id:	Kailash Jain 022 - 6792 0000 • director@m3multiple.com
Clearing Member ISSL Settlement & Transaction Services Limited, MCX: MCX/CM/CORP/1083	
For any grievance/dispute please contact PROFITMART COMMODITIES BROKING PVT. LTD. at the above address or Email : grievance@m3multiple.com and Phone No. : +91 - 022 - 6792 0000. In case not satisfied with the response, please contact the concerned exchange(s) at on MCX Tel. : +91 - 022 - 67318888 • Email ID : grievance@mcxindia.com	