

Appl. No:



## CLIENT REGISTRATION FORM

### MCX

PLEASE READ THIS DOCUMENT CAREFULLY BEFORE AGREEING TO ITS CONTENTS AND ENSURE ALL THE DETAILS PROVIDED ARE CORRECT

Client Name : \_\_\_\_\_

Client ID : \_\_\_\_\_

Introducer Emp.Name&Code : \_\_\_\_\_

Advisory Emp.Name&Code : \_\_\_\_\_

Branch/Ap Code : \_\_\_\_\_

## 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 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
<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 the 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 numbers of whole time directors/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>• Copy 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 derivatives 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 firms 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> </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 authorised to act as authorised signatories with specimen signatures.</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary</li> </ul>

**AMBALAL MULTI COMMODITIES PRIVATE LIMITED**

163, Durga Bhavan II Floor, New Katpadi Road,  
Vellore-632 004. Tamil Nadu, India.

Ph: 0416 - 2227751 - 55. Fax: 0416 - 2215006.

[www.ambalalshares.com](http://www.ambalalshares.com)

TM MEMBER MCX No. 45965 FMC No. : MCX/TM/CORP/1905

Dear Investors,

We thank you for choosing Ambalal Multi Commodities Pvt. Ltd for providing you services for your investment needs. We value your patronage and assure you that we will strive to assist you in the best possible manner for all your investment related needs.

We enclose herewith Know Your Client "KYC Form" for execution with the respective Stock Exchanges. Kindly note that these documents are prescribed by the Regulatory authorities and are in mutual interest. We also enclose the risk disclosure document for your understanding of risk when you invest in the Commodity Markets and an Annexure describing your rights and obligations. We urge you to go through these documents to enhance your investment experience.

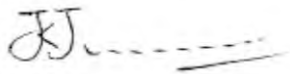
We request you to provide us with your Email address so that your accounts and contract information can be sent to you electronically. We suggest that this booklet be returned with all necessary supporting documents together to ensure speedy processing. Requesting you to collect your Login ID and a Password from us to enable you to view / retrieve your records and investment information from our site [www.ambalalshares.com](http://www.ambalalshares.com).

We once again thank you.

With warm regards,

Yours faithfully,

for AMBALAL MULTI COMMODITIES PRIVATE LIMITED,



CHAIRMAN

**A copy of the any of the following to be submitted as Proof of Identity /Proof of Address.  
Documents submitted : (Please tick appropriate boxes)**

Document Collected from Applicant			
Sr. No.	Documents Accepted (Copies to be certified as "verified with originals". In person verification also to be completed by AMCL Staff)	Proof of Identity	Proof of Address
1.	PAN card with Photo ( <b>Mandatory</b> )		
2.	Passport ( Name, Address and Photo side)		
3.	Voter Identification Card (front and back ) / Unique Identification Number (UID) Aadhar card		
4.	Driving License ( Name, address and Photo pages)		
5.	Ration Card		
6.	Bank Passbook / Statement Not more than 3 months old (With latest entry / date of statement with stamp ) Letter from Bank with Banker seal and sign.		
7.	Electricity Bill ( Not more than 3 months old)		
8.	Telephone Bill (Landline) ( Not more than 3 months old )		
9.	Lease and License Agreement / Agreement for Sale		
10.	Self-declaration by High Court & Supreme Court Judges, giving the new address in respect of their own accounts.		
11.	Identity Card / Document with address, issued by Central/ Stat Govt. & its dept. Statutory /Regulatory Authorities. Public Sector Undertakings, Scheduled Commercial Banks. Public Financial Institutions. Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWA, ICSI, Bar Council etc. to their members.		

**Details of POI (Proof of Identity), POA (Proof of Address) submitted:**

Applicant	Document Collected	Unique No of the Document	Place of Issue	Issue Date	Expiry Date
<b>Proof of Identity</b>					
<b>Proof of Address</b>					

For Branch / Authorised Person Use		For HO Use			
Application Scrutinised by Employee Name & No.		Application Scrutinised by	Signature Scanned by	Account Activated by	System data verified by
Signature		Employee Name & No.			
		Signature			

## SET OF ACCOUNT OPENING DOCUMENT

### AMBALAL MULTI COMMODITIES PRIVATE LIMITED

Member : MULTI COMMODITY EXCHANGE OF INDIA LTD.

MCX NO. 45965 FMC UNIQUE MEMBERSHIP CODE (UMC) NO. MCX/TM/CORP/1905

Regd. Office : 163, Durga Bhavan II Floor, New Katpadi Road, Vellore - 632 004.

Ph : 0416 - 2227751 - 55. Fax : 0416 - 2215006

E-mail : ambalal@ambalalshares.com, igamcl@ambalalshares.com

Web site : www.ambalalshares.com

**Compliance officer : A. S. Rajasekaran, Phone : 0416-2227751 - 55 Email : asr@ambalalshares.com**

**Managing Director : S.Gopal, Phone : 0416-2227751 - 55 Email : gopal@ambalalshares.com**

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S. No.	Name of the Document	Brief Significance of the Document	Page No
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY FMC &amp; EXCHANGES</b>			
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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)	10
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER</b>			
1	ECN Declaration	Electronic Contract Note Declaration for receiving contract notes by mail.	11
2	Running account Authorisation	Required for maintaining clients account on a running account basis.	12
3	Authorisation for Electronic documents	Client consent letter for receiving the bills, ledgers, transaction statements & other documents by Email.	13
4	Mobile No. Declaration & Order Place Instructions	Declaration of Mobile number to receive SMS & Client Authorisation for executing the client orders received over phone/in person at the branch office	14
5	Pro account trading & Name difference declaration	Disclosure and noting of Member's pro account trading & Declaration cum undertaking for name difference in PAN card.	15
6	Request letter for trading & Authorisation for Debiting Charges	Request letter for trading in commodity forward contracts/ commodity derivatives on exchange as client. Authorisation given to AMCL to debit DP related charges and Delay payment (Penalty) from clients trading account with AMCL	16

**For any grievance / disputes please contact AMBALAL MULTI COMMODITIES PRIVATE LIMITED at the above address/ Email/Phone.**

**In case not satisfied with the response, please contact the concerned exchanges.**

**Multi Commodity Exchange of India Ltd. (MCX)**

**Ph : (022) 6731 8888 Fax : (022) 6649 4151**

**E-mail : grievance@mcxindia.com Website : www.mcxindia.com**

## Annexure - 1

## KNOW YOUR CLIENT (KYC) APPLICATION FORM - FOR INDIVIDUALS

( Please fill this form in ENGLISH and in BLOCK LETTERS)

To

**AMBALAL MULTI COMMODITIES PRIVATE LIMITED**

Regd. Office : 163, Durga Bhavan II Floor,  
New Katpadi Road, Vellore - 632 004. Tamil Nadu, India.  
Ph : 0416 - 2227751 - 55, Fax : 0416 2215006.  
E-mail : ambalal@ambalalshares.com Web site : www.ambalalshares.com

Affix Photograph  
and  
sign across

**MEMBER : MULTI COMMODITY EXCHANGE OF INDIA LTD**  
**MCX No. 45965. FMC Code. MCX/TM/CORP/1905**



Dear Sir

I / We request you to register me / us as your client / Constituent and enable me / us to trade in the Commodity Market .  
I/We have read the Rules, Bye-laws and Regulations of the exchange pertaining to these segments and agree to abide by them. In this regard, I / We give the following information.

**Account Type**  Individual  Sole Proprietor  Others \_\_\_\_\_

**A. IDENTITY DETAILS**

<b>Name of the Applicant (Mr./Mrs./Ms.)</b>	First Name																					
	Middle Name																					
<b>Father's Name</b>	Mr.										<b>Spouse's Name</b>	Mr./Mrs.										
<b>Gender</b>	<input type="checkbox"/> Male					<input type="checkbox"/> Female					<b>Marital Status</b>	<input type="checkbox"/> Single					<input type="checkbox"/> Married					
<b>Date of Birth</b>	D	D	M	M	Y	Y	Y	Y	<b>Residential Status</b>	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National (If Non Resident / Foreign National, self certified copy of statutory Approval obtained must be attached)												
<b>Nationality</b>																						
<b>PAN</b>											Unique Identification Number (UID) / Aadhaar, if any :											
<b>Any other additional proof of identity</b>																						

**B. ADDRESS DETAILS (Proof of Address must be different from Proof of Identity submitted)**

<b>Address for Correspondence</b>																								
	<b>City :</b>						<b>State :</b>						<b>Country:</b>						<b>PIN CODE:</b>					
<b>Specify the proof of Address submitted for Correspondence Address</b>																								
<b>Permanent Address ( If different From above )</b>																								
	<b>City :</b>						<b>State :</b>						<b>Country:</b>						<b>PIN CODE:</b>					
<b>Specify the proof of Address submitted for Permanent Address</b>																								
<b>Contact Details</b>	Mobile No.										Landline No. (mention ISD and STD Codes)													
	Fax No.										Email (Capital letters)													

**C. OTHER DETAILS**

**FINANCIAL DETAILS**

<b>Gross Annual Income</b>	<input type="checkbox"/> < Rs.1 Lac	<input type="checkbox"/> Rs.1-5 Lac	<input type="checkbox"/> Rs.5-10 Lac	<input type="checkbox"/> Rs.10-25 Lac	<input type="checkbox"/> > Rs.25 Lac	Rs.Specify.....
<b>(OR) Networth as on (date) ..... (Rs. _____) (Net worth should not be older than 1 year)</b>						
<b>Portfolio</b>	Present Market Value of Portfolio as on date Rs.					

**OCCUPATION / EMPLOYMENT DETAILS**

<b>Occupation</b>	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> House Wife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify.....)					
<b>Name of Employer/ Establishment</b>						
<b>Designation</b>					<b>Period of Service</b>	
<b>Address (Office)</b>						
<b>Contact Details</b>	Phone:				Fax:	
	Email:					
<b>Please Tick, if Applicable</b>	<input type="checkbox"/> Politically Exposed Person (PEP) / <input type="checkbox"/> Related to a Politically Exposed Person (PEP)					
<b>Any Other Information</b>						

**D. BANK ACCOUNT(S) DETAILS** (Please attach separate sheet & proof if more than two Bank account has to be registered)

<b>Bank Name</b>					<b>Bank A/C Type</b>	Savings / Current / NRE / NRO
<b>Bank A/C Number*</b>					<b>Date of Opening Bank A/C</b>	
<b>Bank Branch Address</b>						
<b>MICR</b>						<b>RTGS/NEFT/IFSC</b>

<b>Bank Name</b>					<b>Bank A/C Type</b>	Savings / Current / NRE / NRO
<b>Bank A/C Number</b>					<b>Date of Opening Bank A/C</b>	
<b>Bank Branch Address</b>						
<b>MICR</b>						<b>RTGS/NEFT/IFSC</b>

\*Payment will be issued to the said Bank account by default unless & otherwise specified

**E. DEPOSITORY ACCOUNT(S) DETAILS, if available** (Attach Client Documentary Proof for each Beneficiary ID)

Depository Participant Name (DP)	Depository (NSDL / CDSL)	DP ID	Beneficiary ID (BO ID)

<b>F. TRADING PREFERENCES</b>	Please sign in the relevant boxes with which Exchange you wish to trade. The Exchange not chosen should be struck off by the client.
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Sr. No.	Name of the National Commodity Exchanges	Date of Consent for Trading on concerned Exchange	Signature of the Client
1.	Multi Commodity Exchange of India Ltd. (MCX)		② ✓

<b>G. Investment /Trading Experience</b>	No Prior Experience _____	In Commodities _____ years
	In other Investment related field _____ years	

<b>H. SALES TAX REGISTRATION DETAILS</b>	<b>(As applicable, State wise)</b>
Local Sales Tax State Registration Number : _____ Validity Date : _____ Name of the state : _____	
Central Sales Tax Registration Number : _____ Validity Date : _____	
Other Sales Tax State Registration Number : _____ Validity Date : _____ Name of the state : _____	

<b>I. VAT DETAILS</b>	<b>(As applicable, State wise)</b>
Local VAT Registration Number : _____ Validity Date : _____ Name of the state : _____	
Other VAT Registration Number : _____ Validity Date : _____ Name of the state : _____	

**J. PAST REGULATORY ACTIONS**

Details of any action/proceedings initiated/pending/ taken by FMC / SEBI / Stock exchange / Commodity exchange any other authority against the client dealing in commodities during the last 3 years :	<input type="checkbox"/> Yes <input type="checkbox"/> No

**K. DEALINGS THROUGH OTHER MEMBERS**

If client is dealing through the 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 No.	Concerned Member's Name With whom the AP is registered	Registered Office Address Phone / Fax / Email /Web Details	Client Code
Details of disputes/dues pending from / to such Member/AP :				



**L. INTRODUCER DETAILS (Optional)**

EXISTING ACCOUNT HOLDER <input type="checkbox"/> / AMCL EMPLOYEE <input type="checkbox"/> / AUTHORISED PERSON <input type="checkbox"/>	
Introducer's name	
Introducer's address	
Introducer's Phone No.	
Client ID	
DP ID	
Bank & Branch Name	
Employee Code	
Introducer's Signature	

**M. ADDITIONAL DETAILS**

<b>Whether you wish to receive communication from Member in electronic form on your Email-id :</b>	
<input type="checkbox"/> Yes <input type="checkbox"/> No	{ If Yes then please fill in Appendix-A }
<b>Whether you wish to avail of the facility of internet trading / wireless technology (Please specify) :</b>	
<b>Internet trading facility :</b> <input type="checkbox"/> Yes <input type="checkbox"/> No	<b>Wireless technology facility:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Account Opening Charges</b> <input type="checkbox"/> Collected <input type="checkbox"/> Not Collected	

**N. NOMINATION DETAILS**

I /WE WISH TO NOMINATE       I /WE DO NOT WISH TO NOMINATE

Name of the Nominee			
Relationship with the Nominee			
PAN of Nominee		D.O.B. of Nominee	
Address & Phone No. of the Nominee			

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

Name of Guardian			
Address & Phone No. of the Nominee			
Signature of the Guardian			

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

Name	:	.....	Name	:	.....
Signature	:	.....	Signature	:	.....
Address	:	.....	Address	:	.....
Address	:	.....	Address	:	.....

**DECLARATION**

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief  
1. and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to  
1. 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-  
2. mandatory documents.
  
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk  
3. Disclosure Document' and 'Do's and Dont's'. I/We do hereby agree to be bound by such provisions as outlined in these  
3. documents. I/We have Also been informed that the standard set of documents has been displayed for Information on  
3. Member's designated website, if any.

Place -----

Date -----



**Signature of Client**

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client :

	Documents verified with Originals
Name of the Employee	
Employee Code	
Designation of the employee	
Date	
Place	
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 and Do's and Don't'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.

**For AMBALAL MULTI COMMODITIES PRIVATE LIMITED**

**Authorised Signatory**

**Seal/Stamp of the Member**

**Date : .....**

**Place : .....**

## TARIFF SHEET

### 1. Rates of Brokerage

Brokerage details (to be filled in by the Branch Manager in agreement with the client)

Brokerage Rate	Percentage	Incl. Stat Cost	Minimum
First Leg		Yes / No	Rs.
Second Leg		Yes / No	Rs.

### 2. Other Charges

Transaction charges, Stamp duty, Service Tax and any other Statutory charges / levies as applicable.

4 ✓

\_\_\_\_\_

Approved

X

\_\_\_\_\_

Branch Managers Signature

**Electronic Contract Note (ECN) - DECLARATION  
(VOLUNTARY)**

**Appendix A**

To,

**AMBALAL MULTI COMMODITIES PVT. LTD.**

Member : Multi Commodity Exchange of India Ltd. (MCX)

163, Durga Bhavan II Floor, New Katpadi Road, Vellore - 632 004.

Dear Sir,

I/We, \_\_\_\_\_ a client with  
Member M/s AMBALA MULTI COMMODITIES PVT. LTD., Of MCX undertake as follows.

- I/We am/are aware that the Member has to provide contract note in respect of all the trades placed by me unless I/We myself/ourself want the same in the electronic form.
- I/We am/are aware that the Member has to provide electronic contract note for my/our convenience on my/our request only.
- Though the Member is required to deliver physical contract note, I/We find that it is inconvenient for me/us to receive physical contract notes. Therefore I/We am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out/ ordered by me/us.
- I/We have access to a computer and I/We am/are regular internet user, having sufficient knowledge of handling email operations.
- My/our email ID is \_\_\_\_\_.  
This has been created by me/us and not by someone else.
- I/We am/are aware that this declaration form should be in English or any other Indian language known to me/us.
- This declaration is valid till 31st March \_\_\_\_\_(YYYY)

(The above declaration has been read and understood by me/us. I/We am/are aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same. )


(The above lines must be reproduced in own handwriting of the client.)

\_\_\_\_\_  
\_\_\_\_\_

Client Name : \_\_\_\_\_

Unique Client Code : \_\_\_\_\_ PAN : \_\_\_\_\_

Address : \_\_\_\_\_

Signature of the Client :  \_\_\_\_\_

Date : \_\_\_\_\_

Place : \_\_\_\_\_

Verification of the client signature done by

Name of the designated officer of the Member : \_\_\_\_\_

Signature :  \_\_\_\_\_

Date : \_\_\_\_\_

**Authority for Maintaining Running Account**

Date : \_\_\_\_\_

To

**AMBALAL MULTI COMMODITIES PVT. LTD.**

Member : Multi Commodity Exchange of India Ltd. (MCX)  
163, Durga Bhavan II Floor, New Katpadi Road, Vellore - 632 004.

Dear Sir,

**Sub : Consent for Maintenance of Running Account**

In order to facilitate operations,

I/We hereby authorize you to maintain my/our accounts both in commodities and funds with you on a running account basis and consider the balance in said accounts for the purpose of margins or any other obligations due to you across any segment of any Commodity Exchange and also authorize you to hold my/our credit/commodities in anticipation of future debits in my/our account till my/our further instruction to release the same.

I/We further authorize you to set off/adjust any of my/our debit/ dues in any segment of any Commodity Exchange with credit of any other segment of any other Exchange in my/our account.

I am/ We are aware that the said authorization given to you is on one time basis and is valid till the same is revoked by me/us in writing at any point of time.

I/We desire actual settlement of funds and commodities at least once in a calendar quarter.

I/We, am/are under an obligation to bring any dispute arising from the statement of account or settlement to your notice within 7 working days from the date of receipt of funds /commodities or statement as the case may be.

Thanking You,

Yours faithfully,

⑥ ✓ \_\_\_\_\_

## AUTHORIZATION FOR ELECTRONIC STATEMENTS

Date : \_\_\_\_\_

To

**AMBALAL MULTI COMMODITIES PVT. LTD.**

Member : Multi Commodity Exchange of India Ltd. (MCX)  
163, Durga Bhavan II Floor, New Katpadi Road, Vellore - 632 004.

**Sub: Letter of Authority / Mandate of Issuance of Statement in electronic form (Trading Account)**

Dear Sir / Madam,

In reference to my/ our dealing with you as your client, I/We confirm that I/We am/are desirous of receiving bills, ledgers, transaction statements, monthly / Quarterly demat statement of accounts / holding statement(s)/bills or other reports, statement(s), related notices, Circulars, amendments and such other time to time in electronic form, subject to the terms and conditions prescribed by FMC, the respective Commodity Exchanges and Ambalal Multi Commodities Private Limited.

I / We further hereby confirm that we wish to receive / continue to receive the statements on the following email address, which e-mail address has been generated by me / us.

E- Mail Account 1 :

E-Mail Account 2 :

I/We further hereby agree that AMCL shall fulfill the legal obligation, if the above statement(s) are sent electronically to any one of the above mentioned email account(s). I / We further agree that you shall be entitled to consider non-receipt of any delivery failure notification by you as confirmation of delivery of the contract note at my/our email address.

I / We understand and agree that any change in my/our e-mail address shall be communicated to AMCL by me/us through a physical letter addressed to AMCL or through secured access by way of client specific user id and password.

Thanking You,

Yours faithfully,



\_\_\_\_\_

### Declaration for Mobile Number

**To.** Date : \_\_\_\_\_  
**AMBALAL MULTI COMMODITIES PVT LTD,**  
 163, Durga Bhavan II Floor, New Katpadi Road,  
 Vellore 632004. Tamil Nadu, India.

Sir,

I/We have made application with requisite documents to open trading account for execution of trades on my/our behalf as per instruction given by me/us from time to time in Multi Commodity Exchange of India Ltd.(hereinafter called as "the Exchange(s)") as my/our broker.

I/We, do hereby declare that my/our mobile number is \_\_\_\_\_. Further, I/we authorize that the same may be used for giving me any information/alert/sms/calls. I/we will intimate any change in the mobile number mentioned herein above through a letter in writing to you.

I/We, do hereby declare and agree that:

1. the mobile phone number which belongs to me/us as provided above.
2. mobile communication shall be at the sole discretion of AMCL.
3. despite the fact that I/we may have registered for DND (Do Not Disturb) with respective Mobile Service Provider, AMCL is authorized to send SMS on the above mentioned mobile number and I/we confirms that AMCL will not be held liable for sending any information on SMS and also authorizes AMCL to submit such undertaking before the TRAI or such other regulator or service provider for allowing AMCL to send SMS despite DND Status of the Client Mobile Number.
4. AMCL may charge fees from time to time for providing this service.

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

8 ✓ \_\_\_\_\_

### ORDER PLACEMENT INSTRUCTIONS

To  
**AMBALAL MULTI COMMODITIES PVT LTD,**  
 163, Durga Bhavan II Floor, New Katpadi Road,  
 Vellore 632004. Tamil Nadu, India.

Dear Sir,

I am having a broking account under UCC No. \_\_\_\_\_ with you.

I/We understand that you require written instructions from me/us for placing/modifying/canceling orders. However, since it is not practical for me / us to give written instructions for placing/modifying/canceling order, I/We her by request you to kindly accept my/our/mandate holder's verbal orders/instructions, in person or over phone and execute the same. 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/us. I/We indemnify AMCL and its employees and keep you and your employees 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.

Thanking you, Date: \_\_\_\_\_

Yours faithfully Place: \_\_\_\_\_

9 ✓ \_\_\_\_\_



**DISCLOSURE AND NOTING OF MEMBER'S PRO ACCOUNT TRADING**

To  
**AMBALAL MULTI COMMODITIES PVT LTD,**  
 163, Durga Bhavan II Floor, New Katpadi Road,  
 Vellore 632004. Tamil Nadu, India.

Dated \_\_\_\_\_

Ref : Client code: \_\_\_\_\_

I/We confirm that I / We have made note that Ambalal Multi Commodities Pvt. Ltd. Trades in its OWN/ PRO account in Multi Commodity Exchange (MCX).

Thanking You,  
 Yours faithfully

10  


**DECLARATION CUM UNDERTAKING FOR NAME DIFFERENCE IN PAN CARD**

To  
**AMBALAL MULTI COMMODITIES PVT LTD,**  
 163, Durga Bhavan II Floor, New Katpadi Road,  
 Vellore 632004. Tamil Nadu, India.

S/o, D/o, W/o \_\_\_\_\_

residing at \_\_\_\_\_ do here by state as under:-

I refer to my account opening application for a Trading Account with AMBALAL MULTI COMMODITIES PVT LTD in the name of \_\_\_\_\_

I do here by affirm, declare and undertake as under:-

1. That my name as it appears on the PAN CARD is \_\_\_\_\_
2. That I have been informed that my name as registered with Income Tax Department is \_\_\_\_\_
3. That both the names, the name mentioned on the PAN CARD and the name as it appears in IT Department records
4. That the name before my marriage\* was \_\_\_\_\_ and the name after my marriage with \_\_\_\_\_ is \_\_\_\_\_
5. That I shall indemnify & keep indemnified AMBALAL MULTI COMMODITIES PVT LTD, its directors, officers, employees and agents from and against any and all losses, claims, liabilities, obligations, damages, deficiencies, judgments, actions, suits, proceedings or any liability suffered or incurred or fastened on to AMBALAL MULTI COMMODITIES PVT LTD due to AMBALAL MULTI COMMODITIES PVT LTD accepting this Declaration cum Undertaking and acting on the same.

That the contents of this Declaration cum Undertaking have been explained to me in vernacular and I have understood the same before signing it.

That this Declaration cum Undertaking given by me to AMBALAL MULTI COMMODITIES PVT LTD is by my absolute free will and with out any coercion, undue influence and at present I am having sound health and mind.

11  


PAN Number : \_\_\_\_\_

Client Name : \_\_\_\_\_

Place : \_\_\_\_\_

Date: \_\_\_\_\_

\*Proof to be enclosed. Strike off if not applicable.

1<sup>st</sup>/2<sup>nd</sup>/3<sup>rd</sup> Holder has to submit separately in case of Joint Accounts

**TRADING IN COMMODITY FORWARD CONTRACTS / COMMODITY DERIVATIVES ON MCX**

To

**AMBALAL MULTI COMMODITIES PVT LTD,**  
163, Durga Bhavan II Floor, New Katpadi Road, Vellore 632004. Tamil Nadu, India.

Date: \_\_\_\_\_

Dear Sir,

**Subject: My request for trading in commodity forward contracts/ commodity derivatives on MCX as your client**

I/We the undersigned have taken cognizance of circular no.....dated .....issued by the Multi commodity exchange of India Ltd (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 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 that if I/we take or hold 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 client on MCX only on the basis of our above assurance and undertaking.

Yours faithfully,

12 ✓ \_\_\_\_\_

Date : \_\_\_\_\_

To

**AMBALAL MULTI COMMODITIES PVT LTD,**  
163, Durga Bhavan II Floor, New Katpadi Road, Vellore - 632 004.

Dear Sir,

**Authorisation For Debiting Charges in my/our Trading Account**

I / We here by authorize to debit my/ our trading account No \_\_\_\_\_ held with you for all the Charges under the following heads :

- 1. Trading Account Opening Charges
- 2. DP Charges to \_\_\_\_\_
- 3. Delayed Payment Charges
- 4. Charges towards transfer of commodities

Thanking you,  
Yours faithfully

13 ✓ \_\_\_\_\_

## Acknowledgement

To

**AMBALAL MULTI COMMODITIES PVT LTD,**

163, Durga Bhavan II Floor, New Katpadi Road, Vellore 632004. Tamil Nadu, India.

Sir,

I/We have read and understood AMCL policies and procedures and also accepted the terms and conditions mentioned in the KYC form.

I/We have received the below said documents copy

- \* Uniform Risk Disclosure Document (RDD)
- \* Rights and Obligations of Members, Authorized Persons and Clients
- \* Do's and Don'ts for the Investors

I/We hereby acknowledgment receipt of copy of duly executed KYC form with supporting documents bearing trading code no. \_\_\_\_\_.

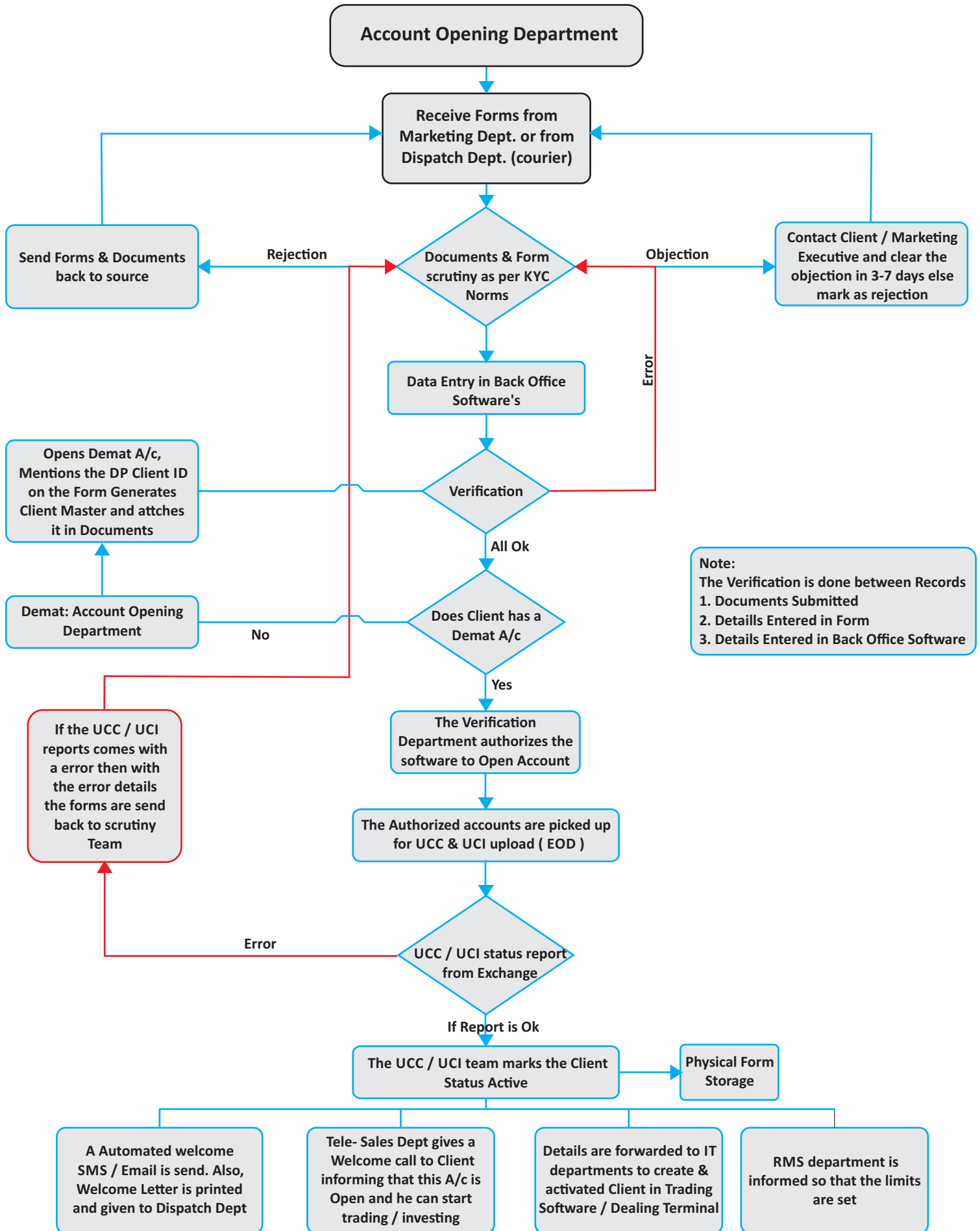
Yours faithfully,

Client's Signature(s):

Date: \_\_\_\_\_

Place: \_\_\_\_\_

 \_\_\_\_\_





# **WE SHAPE YOUR INVESTMENTS**

Regd. Office:#163,Durga Bhavan,II Floor,New Katpadi Road,Vellore-632 004  
Tamil Nadu,India.Ph:0416-2227751-55.Fax:0416-2215006.[www.ambalalshares.com](http://www.ambalalshares.com)

**TM MEMBER MCX (No.45965)  
FMC No. :MCX/TM/CORP/1905**

Investor grievance email id : [igamcl@ambalalshares.com](mailto:igamcl@ambalalshares.com)