

Serial No. :

Client ID No. :



Ajmera Commodity & Derivatives Pvt. Ltd.
M.C.X. / N.C.D.E.X.

INDIVIDUAL CLIENT REGISTRATION FORM

Internal Ref. No. _____ Account No. _____

Branch Code and Name _____



12. Financial details of the constituent :

Income Range (Per Annum) : (Tick where applicable)

Below Rs. 1,00,000	<input type="checkbox"/>
Rs. 1,00,000 To Rs. 5,00,000	<input type="checkbox"/>
Rs. 5,00,000 To Rs. 10,00,000	<input type="checkbox"/>
Rs. 10,00,000 To Rs. 25,00,000	<input type="checkbox"/>
Above Rs. 25,00,000	<input type="checkbox"/>

13. Investment / Trading Experience :

Number of years Prior Experience

_____Years in Stocks

_____Years in Derivatives

_____Years in Commodity Trading

_____Years in other investment related field

14. Whether registered with any other broker-member : (if registered with multiple members, provide details of all)

Name of Broker : _____

Name of Exchange : _____ Member I.D. : _____

Client code No : _____

(In case registered with more than one Broker-Member the details of all such broker Members in the above format should be specified and attached on a separate sheet of paper.)

15. Details of any action taken by FMC/SEBI/Stock exchange/any other authority for violation of securities laws/other economic offences / Criminal offences. (If any)

16. Reference :

Introduction : Introduced by another constituent director or employee of trading member any other person

Name of the Introducer / Sub-Broker : _____

(Surname) (Name) (Middle Name)

Address of the Introducer / Sub-Broker : _____

Signature _____

Name and designation of the employee who interviewed the client : _____

REMARKS IF ANY : _____

(Name) _____

(Designation) _____

(Signature of the Employee with Date) _____



17. Declaration

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

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(Signature of the individual constituent)

Place : _____

Date : _____

DOCUMENTARY REQUIREMENTS

Copies of the following documents may be obtained after due verification with the originals thereof

For Proof of Identity (any one of the following)

Mapin Uid Card Pan No. Passport Voter ID
Driving license Photo Identity card issued by Employer registered under MAPIN

For Proof of Address (any one of the following):

Passport Voter ID Driving license
Bank Passbook Rent Agreement Ration Card
Flat Maintenance Bill Telephone Bill Electricity Bill
Certificate issued by employer registered under MAPIN Insurance Policy

<p>For Office Purposes :</p> <p>Unique Constituent Code : _____</p> <p>(To Be Inserted By The Brokerage Firm)</p> <p>Original Documents</p> <p>Verified By _____ Authorised By : _____</p>
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Annexure C

MEMBER AND CONSTITUENT AGREEMENT

This agreement is made at Mumbai this day of _____, 20__ by and between **M/S. AJMERA COMMODITY & DERIVATIVES PVT. LTD. (ACDPL)** a company duly formed and registered under the companies Act. 1956, having its registered office address at **236/238, Samuel Street, Ground Floor, Masjid Bunder (W), Mumbai - 400 003** & Corp. Office Address at **63/67, Carmello's Building, 4th Floor, Pathak Wadi, Mumbai - 400 002.** (hereinafter called "MEMBER"), and _____, a company / trust / firm / individual or any other body duly formed and registered under the _____ Act, having its registered office address at _____ (hereinafter called "CONSTITUENT")

WITNESSTH :

Whereas the member is registered as TRADING MEMBER (Member) of NATIONAL COMMODITY AND DERIVATIVES EXCHANGE (hereinafter called NCDEX or the Exchange).

Whereas the CONSTITUENT is desirous of investing / trading in those contracts admitted for dealing on NCDEX as defined in the Bye - Laws of NCDEX.

Whereas the CONSTITUENT has satisfied itself of the capability of the MEMBER to deal in those contracts admitted for dealing on NCDEX and wishes to execute his orders through him and the Constituent shall continue to satisfy himself of such capability of the MEMBER before executing any orders through him.

Whereas the MEMBER has satisfied and shall continuously satisfy himself about the genuineness and financial soundness of the CONSTITUENT and objectives relevant to the services to be provided.

Whereas the MEMBER has taken steps and shall take steps to make the CONSTITUENT aware of the precise nature of the MEMBER's liability for business to be conducted, including any limitations on that liability and the capacity in which it acts.

In consideration of the Member agreeing to handle the transaction on NCDEX on my / our behalf, I / We, the Constituent hereby agree that :-

1. I / We have read the Risk Disclosure Document appended hereto and understand the trading & risks involved in the trading of these instruments and am / are fully responsible for my / our dealings in these instruments.
2. I / We shall be bound by the constitutions, by laws, rules, regulations and customs of NCDEX
3. I / We Shall deposit with you monies, securities or other property, which may be required to open and / or maintain my / our account.
4. I / We Shall not, either acting along or in concert with others, directly or indirectly, hold and control excess number of permitted contracts as fixed from time to time by the Exchange.
5. I / We Shall not exercise a long or short position where, acting alone or tn concert with others, directly or indirectly I / We will have exercised in excess of the limit of permitted contracts as may be fixed from time to time by the Exchange.
6. All monies, securities or other property, which you may hold on my / our account, shall be subject to a general lien for the discharge of my / our obligations to you under this agreement.
7. I / We hereby authorize you, should you deem it necessary for your protection to buy, sell or close out any part or all of the contracts held in my / our account with you. I / We will reimburse any or all such incidental expense incurred by you.

Now, THEREFORE, in consideration of the mutual understanding as set forth in this agreement, the parties hereto have agreed to the terms and conditions, as follows :-

1. The agreement entered into between the Member and the Constituent shall stand terminated by mutual consent of the parties by giving at least one - month notice to each other. Such termination shall not have any effect on the transactions executed till the date of termination and the parties shall enjoy same rights and shall have same obligations in respect of such transactions.
2. In the event of the death or insolvency of the Constituent or his otherwise becoming incapable of receiving and paying for or delivering or transferring commodities which the Constituent has ordered to be bought or sold, the Member may with the approval of the Exchange, close out the transaction of the

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Constituent and the Constituent or his legal representative shall be liable for any losses, costs, damages including statutory / regulatory charges, if any and be entitled to any surplus which may result therefrom.

3. All trades, transactions and contracts are subject to the Rules, Bye - Laws and Regulations of the Exchange and shall be deemed to be and shall take effect as wholly made, entered into and to be performed for the purpose of giving effect to the provisions of the Rules, Bye - Laws and Regulations of the Exchange.
4. The Member hereby undertakes to maintain the details of the Constituent as mentioned in the Constituent registration form or any other information pertaining to the Constituent, in confidence and that he shall not disclose the same to any person / entity except as required by the Exchange or as required under the law.

Provided however that the Member shall be allowed to share the details of the Constituent as mentioned in the Constituent registration form or any other information pertaining to the Constituent with parties / entities other than required under law with the express permission of the Constituent.

5. **Provisions in case of Default** : In the event of a default of a Member on his own account, the Constituent's money shall not be utilized to meet the Member's liabilities. In such cases, the Constituent's positions shall be either transferred to another solvent member or closed - out as per the provisions of the Rules, Byelaws and Regulations of the Exchange. The loss, if any, caused to the Constituent because of such action would be recoverable by the Constituent from the Member. In the event of failure of the Constituent to fulfill his obligations to the Member, the Exchange or the Clearing House, the Constituent's position may be closed out and the money, if any, of the Constituent available with the Member or with any other Member or the Exchange, may be adjusted against the Constituent's liabilities / obligations.

The Professional Clearing Member (PCM), if opted by the Constituent to settle his trades, shall confirm all trades executed as PCM trades on the day the order is executed. In the event of non-confirmation and / or rejection of the trade by such PCM, the Constituent shall be liable to pay forth with the applicable margin as enunciated by the Member on the same day.

6. **Collateral** : The Constituent shall pay to the Member such amount as an initial deposit (collateral / initial deposit) as decided by the Member, and in such form as may be approved by the Member up-front, on or before creating a position in any contract. The Member shall reserve the mark up margin (commonly referred to as 'haircut margin') from the collateral, which shall not be utilized for margin requirements. The collateral reduced by markup / haircut margin shall thereafter be utilized against creating and maintaining the position by the Constituent. The mark up margin shall be subject to the change from time to time as may be decided by the Member and / or the exchange.
7. **Utilization by Member of the Initial Deposit by the Constituent** : The initial deposit so paid shall be first utilized towards initial margin requirement as calculated by the Exchange from time to time and the balance if any, after such adjustment against initial margin payments, will be available for adjustment against daily margin requirement, Mark to Market (MTM) loss on open positions created by the Constituent. The Constituent shall forward in advance a written request to the Member for adjustment MTM loss against the cash portion of the collateral.
8. **Payment of Margins** : The daily margin requirement can be adjusted against the collateral maintained by the Constituent with the Member. The Member shall accept from the Constituent further order, which, if executed, will add to the open positions, only if the balance collateral is adequate to meet the initial margin on such new positions. If the balance collateral is not adequate for adjusting the daily margin requirement, the Constituent shall deposit the additional margins as required by the Member. The Constituent shall also be obliged to pay the shortfall of the daily margin, if any, on the immediate succeeding business day when the Member raises such additional margin requirement. The Constituent shall not be permitted to create any new open positions, until receipt of such additional margin.

If the Constituent defaults in paying the daily margin, the Member shall be entitled to liquidate / close out all or any of the Constituent's positions, without prejudice to the Member's right to refer the matter to arbitration. Any and all losses and financial charges on account of such liquidation / closing out shall be charged to and borne by the Constituent. The Member is permitted in its sole and absolute discretion to impose additional margin (even though not imposed by the Exchanges, the Clearing Corporation / Clearing House) and the Constituent shall be obliged to fulfill such additional margin requirements.



9. Receipts & Payment of Premium MTM : The Member will block up-front from the collateral maintained with it the MTM loss on open positions. The Member shall accept from the Constituent further order, which, if executed, will add to the open position, only if the balance collateral is sufficient to meet the requisite margin on such new positions. The Constituent shall be obliged to pay the amount of MTM loss blocked against the collateral on the immediate succeeding business day. The Member will adjust the Constituent's liability towards MTM loss against the initial deposit maintained in cash by the the Constituent, provided a written request is given by the Constituent to the Member to this effect. If the Constituent defaults in paying in the MTM loss, the Member shall be entitled to liquidate / close out all or any of the Constituent's positions, without prejudice to the Member's right to refer the matter to arbitration. Any and all losses and financial charges on account of such liquidation / closing out shall be charged to and borne by the Constituent.

On a written request from the Constituent, MTM profit (on derivative positions) shall be adjusted towards the collateral maintain with the Member. These adjustments pertaining to MTM profit shall be treated as additional. collateral brought in by the constituent and the Member shall reserve the mark up margin from this collateral, which shall not be utilized for margin requirements. The total collateral (inclusive of mark to market inflows) reduced by markup shall thereafter be utilized against creating and maintaining the position by the Constituent.

- 10.** If the complete recovery is not possible then, the Member shall be entitled to liquidate / close out all or any of the Constituent's other outstanding positions, without prejudice to the Member's right to recover the damage from the Constituent. Any and all losses and financial charges on account of such liquidation / closing out shall be charged to and borne by the Constituent.
- 11.** The Constituent acknowledges that all contracts culminating in delivery (which are not squared off and information for giving and taking delivery is given by the Constituents) would be transactions for purchase and sales between the Constituents inter-se and the Constituents would be personally liable to each other through the contract and relationships are governed and regulated by the Bye Laws, Rules and Regulations of the Exchange.
- 12.** The Exchange may cancel a trade suo-moto without giving any reason thereof. In the event of such cancellation, MEMBER shall be entitled to cancel relative contract(s) with CONSTITUENT.
- 13.** All trades, transactions and contracts are subject to the Rules and Regulations of the Exchange and shall be deemed to be and shall take effect as wholly made, entered into and to be performed in the city of Mumbai and the parties to such trade shall be deemed to have submitted to the jurisdiction of the Courts in Mumbai for the purpose of giving effect to the provisions of the Rules and Regulations of the Exchange.

Trade Obligations :

The constituent shall accept all trades executed, resulting from the orders placed with the Member, irrespective of the fact that order is executed partially or in full, on the Exchange.

In the event of non-confirmation of custodial trades by PCM for any reason whatsoever, all exchange-levied margins, MTM losses (on open position), will be borne by the Member for the unconfirmed trades. In such case, the Constituent shall pay to the Member, all margins levied by the Exchange on the unconfirmed trades. In addition to the above, the Member shall have an option to call for collateral from the Constituent, to meet the subsequent daily margin obligation / MTM losses on the unconfirmed trades. The Constituent shall be obliged to pay the daily margin, MTM on the immediate succeeding business day, of the day when the Member raises such margin requirement. The Member shall not permit the Constituent to create any new open positions, until receipt of such additional margin requirement.

If the Constituent defaults in paying the daily margin, MTM, if any, the Member shall be entitled to liquidate / close out all or any of the Constituent's positions, without prejudice to the Member's right to refer the matter to arbitration. Any and all losses and financial charges on account of such liquidation / closing out shall be charged out shall be charged to and borne by the Constituent.

Deliveries :

The Constituent will be responsible for providing information for the purpose of giving / taking delivery against his Net Open Position along-with information necessary for giving / taking delivery within stipulated period as



specified by the Exchange from time to time. Member shall submit the same to the Exchange.

The Exchange at the end of stipulated period shall match the information provided by the Member against Net Open Positions of the Constituent and shall confirm the Delivery / Receipt to be effected against Delivery information submitted by the Member.

Constituent shall co-ordinate with the Member to ensure that all requirements for giving / taking delivery are fulfilled. Constituent shall also ensure to comply with all statutory requirements laid down regarding Sale / Purchase of goods including payment of taxes, local levies and other statutory / regulatory charges as prescribed under applicable laws from time to time.

Constituent shall submit documents such as Invoices, Sales Tax exemption or concession forms or any other documents as required under the prevalent laws and forward the same to the Counter-party Constituent or any other Member of the Exchange within stipulated period as specified by the Exchange from time to time.

Constituent shall be liable to pay sales tax under the local State sales tax law or the Central Sales Tax Act, 1956, as the case may be and will be solely responsible for complying with all the provision and regulation of the applicable sales tax law.

In WITNESS THEREOF, the parties to agreement have caused these presents to be executed as of the day and year first above written.

SIGNED for and on behalf of

The Member : _____

By : _____

Signature : _____

Title : _____

Witness Name : _____

Witness Address : _____

Witness Signature : _____

SIGNED for and on behalf of

THE Constituent : _____

By : _____

Signature : **X** _____

Title : _____

Witness : _____

Witness Name : _____

Witness Address : _____

Witness Signature : _____



Member - Client Agreement

(Business Rule - 27)

This agreement is made at Mumbai this _____ day of _____ 20 ____ by and between **M/S. AJMERA COMMODITY & DERIVATIVES PVT. LTD. (ACDPL)** a company registered under the Companies Act, 1956, hereinafter called MEMBER OF THE EXCHANGE, having its registered office address at **236/238, Samuel Street, Ground Floor, Masjid Bunder (W), Mumbai - 400 003** & Corp. Office Address at **63/67, Carmello's Building, 4th Floor, Pathak Wadi, Mumbai - 400 002** and _____ a company / firm / individual or any other body duly formed and registered under the Relevant Act, hereinafter called CLIENT, having its registered office address at _____

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X
X

WITNESSTH :

Whereas the members is registered as MEMBER OF THE EXCHANGE of MULTI COMMODITY EXCHANGE OF INDIA LIMITED (hereinafter called MCX).

Whereas the CLIENT is desirous of trading in those contracts admitted for dealing on the MCX as defined in the Bye - Laws, Rules and Business Rules of MCX.

Wheres the CLIENT has satisfied itself of the capability of the MEMBER OF THE EXCHANGE to deal in those contracts admitted for dealing on the MCX and wishes to execute his orders through him and the CLIENT shall continue to satisfy him of such capability of the MEMBER OF THE EXCHANGE befor executing any orders through him.

Whereas the MEMBER OF THE EXCHANGE has satisfied and shall continuously satisfy himself about the genuineness and financial soundness of the CLIENT and trading objectives relevant to the service to be provided.

Whereas the MEMBER OF THE EXCHANGE has taken steps and shall take steps to make the CLIENT aware of the precise nature of the MEMBER liability for business to be conducted including any limitations on that liability and the capacity in which it acts.

In consideration of your handling derivatives transactions carried out on the MCX, I agree that :-

1. I have read the Risk Disclosure Document appended hereto and understand the trading & risks involved in the trading these instruments and am fully responsible for my dealings in these instruments.
2. I shall be bound by the Bye-Laws, Rules, Business Rules, and Customs of the MULTI COMMODIY EXCHANGE OF INDIA LIMITED and the Clearing House of the Exchange.
3. I shall deposit with you monies, Warehouse Receipts or other property, which may be required to open and/ or maintain my account or maintain my position.
4. I shall not, acting alone or in concert with others, directly or indirectly, hold and control excess number of permitted futures contracts as fixed from time to time by the Exchange.
5. I shall not exercise a long or short position where, acting alone or in concert with others, directly or indirectly I will have exercised in excess of the number of permitted futures contracts as may be fixed from time to time by the Exchange.
6. All monies, Warehouse Receipts or other property, which you may hold on my account, shall be held subject to a general lien for the discharge of my obligations to you under this agreement.
7. I hereby authorize you at your discretion, should you deem it necessary for your protection to buy, sell or close out any part or all of the derivative contracts held in my account with you. I will reimburse any or all such incidental expenses incurred by you.

Now, THEREFORE, in consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the terms and conditions, as follows :-

1. The agreement entered into between the Member and the CLIENT shall stand terminated by mutual consent of the parties by giving at least one-month notice to each other. Such terminated shall not have any effect on the transactions executed before the date of notice of termination and the parties shall enjoy same rights and shall have same obligations in respect of such transactions.

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2. In the event of the death or insolvency of the CLIENT or his otherwise becoming incapable of receiving and paying for or delivering or transferring Commodities which the CLIENT has ordered to be bought or sold, the Member may with the approval of the Exchange, close out the transaction of the CLIENT and the CLIENT or his legal representative shall be liable for any losses, costs and be entitled to any surplus which may result therefrom.
3. All trades, transactions and contracts are subject to the Rules, Bye Laws and Business Rules of the Exchange and shall be deemed to be and shall take effect as wholly made, entered into and to be performed in the city of MUMBAI for the purpose of giving effect to the provisions of the Rules, Bye - Laws and Business Rules of the Exchange.

In WITNESS THEREOF, the parties to agreement have caused these presents to be executed as of the day and year first above written.

SIGNED for and on behalf of

The Member : _____
By : _____
Signature : _____
Title : _____
Witness Name : _____
Witness Address : _____

Witness Signature : _____

SIGNED for and on behalf of

THE Client : _____
By : _____
Signature : **X** _____
Title : _____
Witness : _____
Witness Name : _____
Witness Address : _____

Witness Signature : _____



Risk Disclosure Document

(Business Rule-27)

**[THIS DOCUMENT SHOULD BE READ BY EACH AND EVERY PROSPECTIVE CLIENT BEFORE ENTERING INTO DERIVATIVES TRADING AND SHOULD BE READ IN CONJUNCTION WITH THE REGULATIONS OF :
MULTI COMMODITY EXCHANGE OF INDIA LIMITED (MCX)**

AND

NATIONAL COMMODITY & DERIVATIVES EXCHANGE LIMITED (NCDEX)

MCX or NCDEX have not passed the merits of participating on the Exchanges but have passed the adequacy or accuracy of this disclosure document. This brief statement does not disclose all of the risks and other significant aspects of trading. In light of the risks, you should undertake such transactions only if you understand the nature of the contracts (and contractual relationships) into which you are entering and the extent of your exposure to risk. Risk of loss in trading in derivatives can be substantial. You should carefully consider whether trading is appropriate for you in light of your experience, objectives, financial resources and other relevant circumstances. Derivatives' trading thus requires not only the necessary financial resources but also the financial and emotional temperament. In case of any consequences or loss in trading on the respective Exchanges, the Client shall be solely responsible for the same and it will not be open for any Client to take the plea that no adequate disclosure was made or he was not explained the full risk involved by the member. The Client will be solely responsible for the consequences and no contract can be rescinded on that account.

RISKS INVOLVED IN TRADING IN DERIVATIVES CONTRACTS

Effect of "Leverage" or "Gearing"

The amount of margin is small relative to the value of the derivatives contract so the transactions are 'Leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the principal investment amount. But transactions in derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in derivatives trading and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin equivalent to the principal investment amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

- A.** Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index. If the index has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This margin will have to be paid within a stipulated time frame, generally before commencement of trading next day.
- B.** If you fail to deposit the additional margin by the deadline or if an outstanding debt occurs in your account, the Member of the Exchange may liquidate a part of or the whole position or substitute commodities. In this case, you will be liable for any losses incurred due to such Close Outs.
- C.** Under certain market conditions, a Client may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D.** In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E.** You must ask your Member of the Exchange to provide the full details of the derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

Risk-reducing orders or Strategies

The placing of certain orders (e.g., "stop-loss" orders, or "stop-limit" orders), which are intended to limit losses to certain amounts, may not be effective because market conditions may make it impossible to execute such orders. Strategies using combinations of positions, such as "spread" positions, may be as risky as taking simple "long" or "short" positions.



FROM : _____

Date : _____

To,
M/s. AJMERA COMMODITY & DERIVATIVES PVT. LTD.
Trading Member : M.C.X. / N.C.D.E.X.
M.C.X. Member ID : 10665
N.C.D.E.X. Member ID : 00254
Regd. Office : 236/238, Samuel Street, Ground Floor, Masjid Bunder (W), Mumbai - 400 003. Tel. : 2340 3333
Corp. Office : 63/67, Carmello's Building, 4th Floor, Pathak Wadi, Mumbai - 400 002. Tel. : 3021 8888 • Fax : 3021 8989

Respected Sir,

Sub : Letter of Standing Instructions

I am a client of **M/s. AJMERA COMMODITY & DERIVATIVES PVT. LTD. (ACDPL)** Member of M.C.X. & N.C.D.E.X. / **M/s. AJMERA ASSOCIATES PVT. LTD. (AAPL)** Member of the Stock Exchange Mumbai / **M/s. AJMERA & SHAH ASSOCIATES (ASA)** member of the National Stock Exchange of India Ltd. and having client code _____ and I hereby willfully and unconditionally issue following stading instructions with references to personal discussion between us :

1. I / we will make payments to your for bills raised by you I / we am / are agreeable for maintaining running account and instruct you that no Cheque / Shares be issued to me / us towards credit balance in my account. unless specifically requested by me / us and only to the extent of amount specified by me / us and you are also authorised to withhold delivery due to me / us against any debit balance or pending sale in my / our account for margin / future obligation.
2. I / we shall be buying / selling / trading in securites, commodities or derivative products across various segments of various Exchange through your affiliated companies and for the consideration thereof, shall have to make payment and a situation may emerge when accounts may show a debit balance in my / our running account with a segment of an Exchange and a credit balance in my / our running account with another Segment / Exchange. With a View to efficiently utilize the funds, you are hereby authorised to transfer the surplus funds from one account to another across segments / Exchange / your affiliated companies whenever the need arises.
3. I / we am / are agreeable for transfer of credit / debit balances from margin account to client account and client account to margin account in cash commodity and derivatives segment.
4. I / we am / are agreeable for transfer of credit / debit balances from Mark to Market/premium account to Margin Account and vice versa for tranfer to credit / debit balance from margin account to Mark to Market / Premium account in the Derivatives segment.
5. I / we am are agreeable for inter-settlement transfer of securities towards pay-in/pay-out of securities in the future / past settlements.
6. I / we am / are agreeable for and authorize you to withhold funds pay-out towards all the applicable margins debits.
7. I / we am / me agreeable for inter-exchange. inter segment / inter company adjustment of pay-in/pay-out of securities / commodities from cash segments from any company to any company and towards collateral margin of derivatives segment of **AAPL (BSE) / ASA (NSE)**.
8. As regards the placement of orders, although you had insisted on written instruction for the placing orders, considering the practical difficultes faced by me / us in complying the same, I/ we would request you to consider my / our telephonic instructions for order placing / order modification / order cancellation as a written instruction and give us all the confirmation on telephone unless instructed otherwise in writing. I / We am / are getting required details from contract issued by you.
9. For confirmation of Orders Executed you had insisted on sending the confirmation Orders executed (by issue of contract notes) on day to day basis. As already, mentioned earlier, it would be impractical for me / us to get the contract notes on the same day, as it would be sent by post / courier by you, I / we had requested you to kindly confirm the orders on the same day in the evening orally on telephone and if possible on my / our request, keep the contract notes with your office to be collected by me / us personally on the same day or subsequenily.
10. In Case of Orders, which could not be executed fully or in part, I / we hereby request you to inform me / us about its status telephonically to enable me / us to take judicious decisions.
11. I / We acknowledge receipt of intimation with regards to your business volumes comprising of client as well as proprietary trades.
12. I / We acknowledge receipt of the Cash & Derivatives Risk Disclosure Documents and have understood the same.

These standing instructions are valid from the date the account is opened at your end to the day of closure of Account at your end.

Thanking You,
Yours Faithfully,

Client Signature **X** _____

Client Name _____



FROM : _____

Date : _____

To,
M/S AJMERA COMMODITY & DERIVATIVES PVT. LTD.
Trading Member : M.C.X. / N.C.D.E.X.
M.C.X. Member ID : 10665
N.C.D.E.X. Member ID : 00254
Regd. Office : 236/238, Samuel Street, Ground Floor, Masjid Bunder (W), Mumbai - 400 003.
Tel. No. : 2340 3333
Corp. Office : 63/67, Carmello's Building, 4th Floor, Pathak Wadi, Mumbai - 400 002.
Tel. : 3021 8888 • Fax : 3021 8989

Respected Sir,

SUB : UNDERTAKING

We are an existing client of **M/S AJMERA COMMODITY & DERIVATIVES PVT. LTD. (ACDPL)** having client code _____ we wish to state that :

We shall maintain such quantity of Commodities / securities and such amount of cash credit balance (hereinafter referred to "Margin") as required by the applicable statutes, rules, regulations procedures or as deemed necessary or advisable by **ACDPL**, provided that the Margin shall not at any time be less than 10% of the value of the admitted commodities / securities proposed to be purchased or sold. We agree that no interest shall be payable on the Margin maintained with **ACDPL**. We shall be permitted to trade up to a pre-determined number of times of the Margin and the quantum of such multiple shall be determined at the sole discretion of **ACDPL**. If **ACDPL** considers it necessary, for its own protection, it may require us to immediately, on demand deposit cash, commodities or securities to their account, prior to any applicable settlement date in order to assure due performance of their account for open contractual commitments. If we do not provide such additional cash, commodities or securities, we hereby grant to **ACDPL** the right to sell any or all securities / commodities / contracts in my/our account, buy any or all relevant securities / commodities / contracts which may be short in My/our account, cancel any or all open orders and / or close any or all outstanding contracts. In addition we acknowledge and agree that **ACDPL** may exercise any or all of the above rights, prior to or without any demand for additional cash, commodities or securities, or notice of sale or purchase, or other notice or intimation. Any such sales or purchases may be made at any time, at the sole discretion of **ACDPL** on any market where such business is usually transacted, or at public or private sale. The making / giving of any prior demand or call or notice of time and place of such sale purchase shall not be considered as a waiver of any rights of **ACDPL** to sell or buy without any such demand, call notice, at any time subsequently. In addition to the above, if we do not credit our cash, commodities or securities account maintained with **ACDPL**, to make up any shortfall in the Margin instantaneously, to enable restoration of the Margin in my/our account, my/our position may be squared off by **ACDPL**, without any further reference to us and without prior notification and any resultant or associated losses that may occur due to such squaring off shall be borne by us, & **ACDPL** is here fully indemnified and held harmless by us in this behalf. In addition we grant to **ACDPL**, the right to with-hold securities pay-out from the stock / commodity exchange in part or full to make up for any shortfall in margin. In case where payment by us towards the Margin is made through a cheque issued in favour of **ACDPL**, any trade would be executed by **ACDPL**, only upon the realisation of the funds of the said cheque.

Thanking You,

Client Signature **X** _____

Client Name _____



FROM : _____

Date : _____

To,
M/S AJMERA COMMODITY & DERIVATIVES PVT. LTD.
Trading Member : M.C.X. / N.C.D.E.X.
M.C.X. Member ID : 10665
N.C.D.E.X. Member ID : 00254
Regd. Office : 236/238, Samuel Street, Ground Floor, Masjid Bunder (W), Mumbai - 400 003.
Tel. No. : 2340 3333
Corp. Office : 63/67, Carmello's Building, 4th Floor, Pathak Wadi, Mumbai - 400 002.
Tel. : 3021 8888 • Fax : 3021 8989

Respected Sir,

SUB : LETTER OF AUTHORITY FOR ADJUSTMENT OF BALANCES IN GROUP ACCOUNTS

Sr. No.	Name	Client Code

We the above mentioned individuals / associate concerns are existing clients of **M/s. AJMERA COMMODITY & DERIVATIVES PVT. LTD. (ACDPL) / M/s AJMERA ASSOCIATES PVT. LTD. (AAPL) /M/s. AJMERA & SHAH ASSOCIATES (ASA)** have been regularly trading and investing with you on the Commodity Exchanges, BSE and NSE for the purpose of operation with you, we agree to be treated as a group account.

In order to facilitate operations we hereby authorise you to set off the outstanding in any of the above mentioned account against credits available or arising in any of the above account, irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of any exchange & / or against the value of cash margin or collateral shares provided to you by any member (s) of the group.

We agree to intimate you from time to time of any additions or deletions of clients to the said group. We agree that any deletion shall take effect only on completion of settlement and adjustments of balances in all the accounts of the clients belonging to the group.

In order to facilitate operations, we authorise the Member to maintain a running account instead of settlement to settlement clearance of dues or delivery of securities to us.

We consent to the above-mentioned terms of adjustments.

We understand that this is an irrevocable authority till such time intimation is given in writing to the contrary by any one or all of us.

Thanking You,

Client Signature **X** _____

Client Name _____



FROM : _____

Date : _____

To
M/s. AJMERA COMMODITY & DERIVATIVES PVT. LTD.
Trading Member : M.C.X. / N.C.D.E.X.
M.C.X. Member ID : 10665
N.C.D.E.X. Member ID : 00254
Regd. Office : 236/238, Samuel Street, Ground Floor, Masjid Bunder (W), Mumbai - 400 003.
Tel. No. : 2340 3333
Corp. Office : 63/67, Carmello's Building, 4th Floor, Pathak Wadi, Mumbai - 400 002.
Tel. : 3021 8888 • Fax : 3021 8989

Respected Sir,

Re. Request for mode of delivery of documents.

I am maintaining client account's bearing Id, _____ to transact with your good firm on the commodity segment (**Member ID : M.C.X. - 10665 and Member ID : N.C.D.E.X. - 00254**)

I request your good office to deliver all any documents in any of the following manner :

- a. Physical delivery to my representative Mr. _____
- b. By Fax transmission to my No. _____
- c. By E-Mail to my Id. _____
- d. By Courier services to my postal address.

I/we confirm that after despatch of any documents from your side through any of the above mentioned mode. The same will constitute valid and binding despatch in law on me/us. Non-Receipt of the same due to any reason. Your shall not be held responsible or liable.

Kindly take note of the above and oblige.

Thanking You,

Sincerely,

Client Signature **X** _____

Client Name _____



AJMERA COMMODITY & DARIVATIVES PVT. LTD.

Member ID : M.C.X. - 10665 • Member ID : N.C.D.E.X. - 00254

Regd. Off. : 236/238, Samuel Street, Ground Floor, Masjid Bunder (W), Mumbai - 400 003. Tel.: 2340 3333
Corp. Off. : 63/67, Carmello's Building, 4th Floor, Pathak Wadi, Mumbai - 400 002.
Tel. : 3021 8888 • Fax : 3021 8989

Dear Clients,

Sub : Disclosure regarding Proprietary Trading

With a view to increase the transparency in the dealings between the trading member and their clients, all trading members are required to inform their clients whether they do only client based business or undertake proprietary trading as well.

Accordingly, we inform you that we are doing client based business as well as proprietary trading in our office in all available segments of the commodity markets (M.C.X / N.C.D.E.X.).

Kindly acknowledge the receipt.

Yours Truly,

For AJMERA COMMODITY & DERIVATIVES PVT. LTD.

DIRECTOR

I / We _____ Self / Karta /

Proprietor / Partner / Director of _____

having client code _____ with M/s. **AJMERA COMMODITY & DERIVATIVES PVT. LTD.**

Acknowledge the receipt of a copy the above.

X

Signature



FROM : _____

Date : _____

TO,
The Manager,
(NAME AND ADDRESS OF BANK)

SUB : SIGNATURE VERIFICATION.

Type of A/c. _____ A/c No. _____

Respected Sir,

This is with reference to my dealing with **M/s. AJMERA COMMODITY & DERIVATIVES PVT. LTD.**
a Broker on the **M.C.X. / N.C.D.E.X.**

I request you to verify my signature and return this letter, without any risk or responsibility on the banks side or any such other documents as per the Banks format at the earliest and oblige.

Thanking you.

Client Name : _____

Client Signature : X

Bank Stamp :

Signature of verifying authority

Full Name : _____

Designation : _____



From No 60

(See third proviso to rule 114B)

Form of Declaration to be filed by a person who does not have either a permanent account number or General Index Register Number and who makes payment in cash in respect of transaction specified in clauses (a) to (h) of rule 114B

1. Full Name and Address of the Declarant _____

2. Particulars of transaction _____

3. Amount of the transaction _____

4. Are you assessed to tax ? Yes No.

5. If yes, _____

i) Details of ward/Circle/Range where the last return of income was filed?

ii) Reasons for not having permanent account number / General Index Register Number ?

(PLEASE ATTACH XEROX OR SEPRATE SHEET)

6. Details of the document being produced in support of address in column (1) :

VERIFICATION :

I _____ do hereby declare that what is stated above is true to the best of my knowledge and belief.

Verified today, the _____ day of _____ 20

Date :

Place :

X

Signature of the Declarant

Instructions : Documents which can be produced in support of the address are :

- (a) Ration Card.
- (b) Passport.
- (c) Driving Licence.
- (d) Identify Card issued by any institutions.
- (e) Copy of the electricity bill or telephone bill showing residential address.
- (f) Any document or communication issued by authority of Central Government. State Government or Local bodies showing residential address.
- (g) Any other documentary evidence in support of his given in the declaration.



INSTRUCTIONS FOR FILLING OF THE CLIENT REGISTRATION FORM

1. Each client has to use one registration form. in case of joint names/family members please submit separate registration forms for each person. Please submit all the relevant documents together.
2. All columns must be compulsorily filled up; Score off Blank Spaces or write “ Not Applicable”
3. Affix a recent passport size photograph & sign across the photograph.
4. IF PAN is not allotted a copy of application and other supporting documents like Form No. 60 / form No. 49A must be submitted.
5. Pin Code is compulsory in the address details.
6. It is mandatory to provide details of your beneficiary account number with a depository participant along with account opening form in proof of the same.
7. Originals will be required for verification on at the time of submission of the application.
8. Complete signature of the client on all pages is required. The client should also in all the relevant places where information is filled by hand or where information is provided in blank spaces. Signature required across the photograph affixed on top page.
9. Witness signature is required on the agreement & Client Registration Form Introducers name & signature is required in the Client Registration form.
10. In case of more than one a) Bank A/c b) Demat A/c c) Registration with Broker-member & d) family members, please furnish details of all additional a) Bank A/c b) Demat A/c c) Registration with Broker-member & d) Family members, in the specified format on separate sheet of paper duly signed respectively.

Category Code :

CODE	CATEGORY	CODE	CATEGORY
01	Individual	08	Banks
02	Partnership Firm	09	NBFC
03	HUF	10	Society
04	Company	11	NRI
05	Trust	12	FII
06	Mutual Fund	13	OCB
07	Financial Institution	14	Others

CHECK LIST FOR ENCLOSURES :

1. Certified True copy of Proof of Identity
2. Certified True copy of PAN Card
3. Form No. 60 & relevant documents in the absence of PAN
4. One cancelled cheque leaf (MICR) for each of your operative Bank A/c mentioned in the form.
5. Copy of latest Bank Statement of Bank Pass Book of your operative Bank A/c mentioned in the form.
6. Copy of Client Master from your DP / Latest Transaction Statement (1st page only) for each of your operative Demat A/c mentioned in the Form.

FOR NON-INDIVIDUAL : ALL OF THE ABOVE PLUS

7. Memorandum & Articles of Association / Copy of Partnership deed / Trust Deed
8. Board Resolution.
9. Letter of authorisation in favor of Director / Partner / Authorised Signatory / Karta.
10. Certified true copy of Annual Report & Accounts for last 3 years.