

Client Registration Form



RUDRA COMVENTURES PRIVATE LIMITED

(Formerly Known as Gigantic Commodities Private Limited)

Member : MCX, NCDEX

SR. NO.

PAN

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BRANCH CODE

NAME

GROUP CODE

UCC



FORMERLY KNOWN AS

Gigantic Commodities Private Limited

Member Information



RUDRA COMVENTURES PRIVATE LIMITED

(FORMERLY KNOWN AS GIGANTIC COMMODITIES PRIVATE LIMITED)

ExchangeName	Membership	FMC ID	Date
MCX	35545	MCX/TCM/CORP/1500	30/03/2007
NCDEX	00890	NCDEX/TCM/CORP/0858	12/06/2007

Corp. Office : Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur-208 001 (U.P.)

Regd. Office : 73, Rajdhani Nikunj Society, I.P. Extn. 94, Patparganj, New Delhi-110092

Phone: +91-512-6711000 (30 Lines), 3913928 Fax : +91-512-3913929

E-mail : contactus@rudrashares.com • Website : www.rudrashares.com

Compliance Officer's Details

Name : Ankur Shah
Phone No. : +91-512-6711018
E-mail Id : ankur.shah@rudrashares.com

CEO's Details

Name : Kishore Kumar Vakil
Phone No. : +91-512-6711000
E-mail Id : kishor.vakil@rudrashares.com

S. No.	Name of the Document	Brief Significance of the Document	Page No.	Booklet No.
MANDATORY DOCUMENTS AS PRESCRIBED BY FMC & EXCHANGES				
1.	KYC (Account Opening) application form	KYC form - Document captures the basic information about the constituent and an instruction/check list.	1-9	A
2.	Uniform Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the commodities market	1-4	B
3.	Rights and Obligations of Members, Authorized Persons and Clients	Document stating the Rights & Obligations of member, Authorized Person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	5-14	B
4.	Do's and Don'ts for the Investors	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	15-16	B
5.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the Commodity Exchange(s)	10	A
VOLUNTARY DOCUMENTS AS PER PROVIDED BY THE MEMBER				
6.	Electronic Contract Note [ECN]	Declaration	11	A
7.	Authorisation Letter for Authorised Person	Authorisation	12	A
8.	Authorisation Letter for Order Instructions	Authorisation	12	A
9.	Standing Instructions / Authorisation Letter	Authorisation	13	A
10.	Request Letter	Request Letter for Trading Commodity Forward Contracts	14	A
11.	Declaration	Declaration	14	A
12.	NOC Letter	Declaration	14	A
13.	Mutual Acknowledgement-Cum-Declaration	Between Rudra Comventures Private Limited. And Internet Clients	15	A
14.	Declaration to be Given By HUF	Declaration	15	A
15.	Board Resolution to be Given by Corporate Client	Format of Board Resolution to be Given by Corporate Client	16	A
16.	Declaration by Sole Proprietorship Firm	Declaration by Sole Proprietorship Firm on Letter Head of the Firm	16	A
17.	Declaration to be Given by Partnership Firm	Declaration to be Given by Partnership Firm on Letter Head of the Firm	17	A
18.	Declaration-Cum-Undertaking	Declaration-Cum-Undertaking in Hindi	17	A
19.	Policy and Procedure	Policy and Procedure applicable to client	17-26	B

For any grievance/dispute please contact **RUDRA COMVENTURES PRIVATE LIMITED** at the above address or email id-contactus@rudrashares.com and Phone no. +91-512-6711047, 3071648. In case not satisfied with the response, please contact the concerned exchange(s) at

Exchange Name

Multi Commodity Exchange of India Ltd.
National Commodity & Derivatives Exchange Limited
National Multi-Commodity Exchange of India Ltd.

E-mail ID

grievance@mcxindia.com
askus@ncdex.com
grievance@nmce.com

Phone No.

+91-22-67318888
+91-22-66406084
+91-79-40086037

MANDATORY DOUCMENTS

INSTRUCTIONS / CHECK LIST FORM FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving

License/Flat Maintenance bill/Insurance Copy.

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

INSTRUCTIONS / CHECK LIST FORM FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

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

Type 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 securities market. • Authorised signatories list with 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.
Unincorporated Association or a Body of Individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures.
Army/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.

Details of Promoters/Partners/Karta/Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant _____ PAN of the Applicant _____

1. Name _____
 PAN _____ DIN (For Directors) / UID (for Others) _____
 Residential /Registered Address _____

 City/Town/Village _____ Pin Code _____
 State _____ Country _____
 Relationship with Applicant (i.e. promoters, whole time directors etc.) _____
 Whether Politically Exposed PEP (Politically Exposed Person) RPEP (Related to Politically Exposed Person) NO

Please affix the recent passport size photograph and sign across it

2. Name _____
 PAN _____ DIN (For Directors) / UID (for Others) _____
 Residential /Registered Address _____

 City/Town/Village _____ Pin Code _____
 State _____ Country _____
 Relationship with Applicant (i.e. promoters, whole time directors etc.) _____
 Whether Politically Exposed PEP (Politically Exposed Person) RPEP (Related to Politically Exposed Person) NO

Please affix the recent passport size photograph and sign across it

3. Name _____
 PAN _____ DIN (For Directors) / UID (for Others) _____
 Residential /Registered Address _____

 City/Town/Village _____ Pin Code _____
 State _____ Country _____
 Relationship with Applicant (i.e. promoters, whole time directors etc.) _____
 Whether Politically Exposed PEP (Politically Exposed Person) RPEP (Related to Politically Exposed Person) NO

Please affix the recent passport size photograph and sign across it

4. Name _____
 PAN _____ DIN (For Directors) / UID (for Others) _____
 Residential /Registered Address _____


 City/Town/Village _____ Pin Code _____
 State _____ Country _____
 Relationship with Applicant (i.e. promoters, whole time directors etc.) _____
 Whether Politically Exposed PEP (Politically Exposed Person) RPEP (Related to Politically Exposed Person) NO

Please affix the recent passport size photograph and sign across it

5. Name _____
 PAN _____ DIN (For Directors) / UID (for Others) _____
 Residential /Registered Address _____

 City/Town/Village _____ Pin Code _____
 State _____ Country _____
 Relationship with Applicant (i.e. promoters, whole time directors etc.) _____
 Whether Politically Exposed PEP (Politically Exposed Person) RPEP (Related to Politically Exposed Person) NO

Please affix the recent passport size photograph and sign across it

 Name & Signature of the Authorised Signatory(ies)

Date / /

C. DEPOSITORY ACCOUNT(S) DETAILS, If available	
Depository Participant Name	<input type="text"/>
Depository Name (NSDL/CDSL)	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL
Beneficiary Name	<input type="text"/>
DP ID	<input type="text"/> Beneficiary ID (BO ID) <input type="text"/>

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

D. TRADING PREFERENCES			
Note: Please sign in the relevant boxes against the Exchange with which you wish to trade. The Exchange not chosen should be struck off by the client.			
S. No	Name of the National Commodity Exchanges	Date of Consent for trading on concerned Exchange	Signature of the Client
1.	NCDEX	<input type="text"/>	<input type="checkbox"/> Sign if applicable
2.	MCX	<input type="text"/>	<input type="checkbox"/> Sign if applicable
3.			
[In case of allowing a client for trading on any other exchange at a later date, which is not selected now, a separate consent letter is required to be obtained by the Member from client and to be kept as enclosure with this document]			

E. INVESTMENT/TRADING EXPERIENCE		
<input type="checkbox"/> No Prior Experience	<input type="checkbox"/> Years in Commodities	<input type="checkbox"/> Years in other investment related fields

F. SALES TAX REGISTRATION DETAILS (As applicable, State wise)	
Local Sales Tax State Registration No	<input type="text"/> Validity Date <input type="text"/>
Name of the State	<input type="text"/>
Central Sales Tax Registration No	<input type="text"/> Validity Date <input type="text"/>
Other Sales Tax State Registration No	<input type="text"/> Validity Date <input type="text"/>
Name of the State	<input type="text"/>

G. VAT DETAILS (As Applicable, State wise)	
Local VAT Registration No	<input type="text"/> Validity Date <input type="text"/>
Name of the State	<input type="text"/>
Other VAT Registration No	<input type="text"/> Validity Date <input type="text"/>
Name of the State	<input type="text"/>

H. PAST REGULATORY ACTIONS	
Details of any action/proceedings initiated/pending/taken by FMC/SEBI/Stock exchange/Commodity exchange/any other authority against the client or its Partners/promoters/whole time directors/authorized persons in charge during the last 3 years.	
<input type="text"/>	
<input type="text"/>	

I. DEALINGS THROUGH OTHER MEMBERS	
If client is dealing through any other Member, provide the following details (in case dealing with multiple Members/AP's, provide details of all in a separate sheet containing all the information as mentioned below :	
Member/s / Authorized Person (AP)'s Name	
Exchange	Exchange's Registration No.
Concerned Member's Name with whom the AP is registered	
Registered Office	
Address	
City/Town/Village	PIN Code
State	Country
Phone No	Fax No
Email Id	
Website	
Client Code	
Details of disputes/dues pending from/to such Member/AP	

J. INTRODUCER DETAILS (Optional)	
Name of the Introducer	
Status of the Introducer	<input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others (please specify)
Address of the Introducer	
City/Town/Village	
PIN Code	
State	Country
Phone No. of Introducer	Signature of the Introducer

K. ADDITIONAL DETAILS	
Whether you wish to receive communication from Member in electronic form on your Email-id <input type="checkbox"/> Yes <input type="checkbox"/> No	
{If yes then please fill in Appendix-A on page No. 22}	

L. NOMINATION DETAILS (For Individuals Only)		<input type="checkbox"/> I/We wish to nominate	<input type="checkbox"/> I/We do not wish to nominate
Name of the Nominee			
Relationship with the Nominee			
PAN of Nominee	Date of Birth of Nominee	D	D
Address of the Nominee		M	M
City/Town/Village		Y	Y
PIN Code		Y	Y
State	Country		
Phone No. of Nominee			

IF NOMINEE IS A MINOR, DETAILS OF GUARDIAN

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

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

Name																			Name																		
Address																			Address																		
													PIN Code																		PIN Code						
Signature																			Signature																		

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non-mandatory documents.
3. I/We further confirm having read and understood the contents of the 'Right and Obligations' document(s), 'Risk Disclosure Document' and 'Do's and Dont's'. I/we do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on Member's designated website : www.rudrashares.com

Place Date

Signature of Client/(all) Authorized Signatory(ies)*

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

FOR OFFICE USE ONLY

UCC Code allotted to the Client																		
	Documents verified with Originals																	
Name of the Employee/AP/SB*																		
Employee Code																		
Designation of the Employee/AP/SB*																		
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 www.rudrashares.com, for the information of the clients.

Date

Signature of the Authorised Signatory

Seal/Stamp of the Member

* AP : Authorised Person, SB: Sub-Broker

TARIFF SHEET

BROKERAGE

MCX/NCDEX			
Delivery		Futures	
%	Minimum (Rs.)	%	Minimum (Rs.)

OTHER TAXES & CHARGES

As may be applicable from time to time as per the provisions of the Regulatory Authorities and Exchanges.

DECLARATION

I/We are quite agree and accept with the chagres given under this Tariff Sheet



Signature of Client

Name of the Client :

Place :

Date :

VOLUNTARY DOUCMENTS

To,

RUDRA COMVENTURES PRIVATE LIMITED

(FORMERLY KNOWN AS GIGANTIC COMMODITIES PRIVATE LIMITED)

Corp. Off.: Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur-208 001 (U.P.)

Regd. Off.: 73, Rajdhani, Nikunj Society, I.P. Extn. 94, Patparganj, Delhi-92

Dear Sir,

I, a client with Member M/s. Rudra Comventures Private Limited of National Commodity & Derivatives Exchange Limited (NCDEX) and Multi Commodity Exchange of India Ltd (MCX) undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is*
This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other language known to me.
- I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

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

Client Name

Unique Client Code PAN

Address.....

Client Signature  Place..... Date

Verification of the client signature done by,

Name of the designated officer of the Member

Signature

AUTHORISATION LETTER FOR AUTHORISED PERSON

RUDRA COMVENTURES PRIVATE LIMITED (FORMERLY KNOWN AS GIGANTIC COMMODITIES PRIVATE LIMITED)

Corp. Off.: Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur-208 001 (U.P.)

Regd. Off.: 73, Rajdhani, Nikunj Society, I.P. Extn. 94, Patparganj, Delhi-92

SUB: AUTHORITY LETTER FOR AUTHORISED PERSON

Dear Sir,

I/we have been/ shall be dealing through you as my / our broker on the Commodity Exchanges such as MCX/NCDEX. As my / our Broker i.e. agent I /we direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below. Please treat these instructions as written ratification of my / our verbal directions/ authorizations given and carried out by you earlier.

I /we authorise Mr. / Ms.....to deal I transact on my / our behalf and to place orders, give instructions, make and receive payments of securities and monies, collect contract notes, bills, order confirmations, trade confirmations, account statements and any other documents or communication, to sign any document, settle the account, enter into any compromise and to do any and all act (s) on my /our behalf which I/ we can do. And I /we the undersigned do hereby agree and declare and confirm that all the acts and things done by him/her or his/her substitutes shall be my / our acts, deeds and things validly done by me/ us to all intents and purposes.

Please treat this authorization as written ratification of my /our verbal directions / authorizations given and carried out by you earlier.

I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my / our directions given above.

Please note that i am/we are entitled to revoke this authorisation at any time.

Thanking you,

Yours faithfully

Signature 

Client Name :.....

Name and Address details of my/ our Authorised Person are:

Name :.....

Address :.....

:.....

AUTHORISATION LETTER FOR ORDER INSTRUCTIONS

RUDRA COMVENTURES PRIVATE LIMITED (FORMERLY KNOWN AS GIGANTIC COMMODITIES PRIVATE LIMITED)

Corp. Off.: Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur-208 001 (U.P.)

Regd. Off.: 73, Rajdhani, Nikunj Society, I.P. Extn. 94, Patparganj, Delhi-92

SUB: AUTHORITY LETTER FOR ORDER INSTRUCTIONS

Dear Sir,

I/ we have been/ shall be dealing through you as my broker on the Commodity Exchanges such as MCX/NCDEX

I/ we understand that you require written instructions for receiving / modifying / cancelling orders. However, since it is not practical to give written instructions for order, I hereby authorize you to kindly accept my / my authorised representatives' verbal instructions / orders in person or over phone and execute the same. I/we understand the risk associated with verbal orders and accept the same, and agree that I/we shall not be entitled to disown orders under the plea that same were not under mine/our instructions.

Please treat this authorization as written ratification of my / our verbal directions/ authorizations given and carried out by you earlier.

I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my / our directions given above.

Please note that i am/we are entitled to revoke this authorisation at any time.

Thanking you,

Yours faithfully



Signature

Client Name :.....

STANDING INSTRUCTIONS / AUTHORISATION LETTER

RUDRA COMVENTURES PRIVATE LIMITED (FORMERLY KNOWN AS GIGANTIC COMMODITIES PRIVATE LIMITED)

Corp. Off.: Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur-208 001 (U.P.)

Regd. Off.: 73, Rajdhani, Nikunj Society, I.P. Extn. 94, Patparganj, Delhi-92

SUB: STANDING INSTRUCTIONS / AUTHORISATION LETTER

Dear Sir,

I/we have been / shall be dealing through you as my broker on the Commodity Exchanges such as MCX/NCDEX. As my Broker i.e. agent I /we direct and authorize you to carry out trading / dealings on my/our behalf as per instructions given below. Please treat these instructions as written ratification of my / our verbal directions/ authorizations given and carried out by you earlier.

1. Since you are issuing contract notes bearing order numbers and trade numbers on a daily basis, please do not issue the order/trade confirmation slips as generated from the Trading Terminal.
2. I am /we are aware that you are required to issue payment/ securities due to me/ us as per the payout from the exchange. In order to facilitate operations, I/we hereby authorise you to maintain running accounts with you; to debit my /our running account for the margin /funds and / or securities payable by me/ us; to include any / all the payout of funds and / or securities towards margin / security and / or towards pay in obligations and / or towards funds / securities payable by me / us, without any specific authorization on pay out to payout basis and to release the funds and / or securities (if any) due to me /us on my / our specific request only. I/ we also agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of such securities/funds under this agreement or otherwise.
3. Pledge/deposit my/our securities and / or funds whether deposited as collateral/margin or permitted by us to be retained in the running account etc. by you with any bank or any other institution including but not limited to the Exchange(s) / Clearing Corporation / Clearing House for the purposes of raising funds, bank guarantees and FDRs etc., or towards Margin/ Collateral as also to meet shortfall in my/ our funds/ securities pay in obligation/ auctions or assignment of contracts or any other liability arising out of my / our dealings with you/ through you. I/ we authorise you to do all such acts, deeds and things as may be necessary and expedient for placing such securities with the Exchanges/banks/institutions as margin. You are further authorised to sell / liquidate these securities / FDRs at the time and manner of your choice, as and when deemed fit by you in your absolute discretion to meet any shortfalls in my/our accounts or any other liability of mine/ ours without any reference to me/ us.
4. I/ we hereby authorise you to set off a part or whole of the Margin (i.e. by the way of appropriation of the relevant amount of cash or by sale or transfer of all or some of the securities which form part of the margin), against any of my / our dues or against the dues of a member of my / our "Family" (for the purposes of this agreement "Family" shall hereinafter mean all the individuals, relatives, group companies / associate companies / firms / entities and such other persons) in the event of my / our failure or the failure of a member of my / our Family to meet any of their respective obligations under these terms.
5. I /we agree that any loss due to any erroneous order entry / erroneous order modification shall be entertained by you only to the extent of insurance received.
6. In case I/ we have made any purchase of securities and the delivery of the same falls short inter-client at the broker level, I/ we hereby authorise you to make purchases of the same in the market to make available the delivery of the said securities to me.
7. In case I /we have made any sale of securities and due to any exigencies I /we is/ are unable to make available the delivery of the same in the designated account within the designated time and it is an inter client delivery at broker level, I/ we hereby authorise you to make purchases of the same in the market on my behalf to make available the delivery of the said securities to the opposite party.
8. I/ we hereby authorise you to debit charges for Depository Services or other advisory services, to my / our trading account.
9. I /we agree that any amount overdue from me / us shall be adjusted by you from dues owed to me/ us by any of your group or associate company. Conversely, any money owed by any of your group or associate company to me / us shall offset against the dues owed by you to me / us.

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

Please note that I am/we are entitled to revoke this authorisation at any time.

Thanking you,

Yours faithfully,

Signature 

Client Name:

Request Letter for Trading Commodity Forward Contracts

RUDRA COMVENTURES PRIVATE LIMITED (FORMERLY KNOWN AS GIGANTIC COMMODITIES PRIVATE LIMITED)

Corp. Off.: Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur-208 001 (U.P.)

Regd. Off.: 73, Rajdhani, Nikunj Society, I.P. Extn. 94, Patparganj, Delhi-92

Sub : My/Our request for trading in commodity forward contracts/commodity derivatives on NCDEX/MCX as your client

Dear Sir,

I/We, the undersigned, have taken cognizance of circular no. NCDEX/TRADING-114/2006/247 dated September 28, 2006 issued by the National Commodity & Derivative Exchange Limited (NCDEX) & Multi Commodity Exchange of India Limited (MCX) circular MCX/300/2006 and MCX/338/2006 issued on August, 1, 2006 and August 21, 2006 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 NCDEX/MCX or Forward Markets Commission and such position limits will be calculated in accordance with the contents of above stated circular of NCDEX/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 or any of above such person is a partner/director/karta/trustee, takes or holds any position in any commodity forward contact/commodity derivative on NCDEX through you or through any other member(s) of NCDEX/MCX, to enable you to restrict our position limit as prescribed by the above referred circular of NCDEX/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 NCDEX/MCX only on the basis of our above assurances and undertaking.

Yours faithfully,

for :

Signature 

Name of client/Sole Proprietor/Partner/Director/Karta/Trustee:

Address of client/Sole Proprietor/Partner/Director/Karta/Trustee:

.....

DECLARATION

It is Declared that I/We/the firm/the company :

1. Have not defaulted to any other broker/exchange and/or am/are not suspended/expelled/defaulted member of any exchange.
2. Have not been declared bankrupt/insolvent.
3. Have not been prohibited for dealing in securities/commodities market by any authority.
4. Are not employees of any other broker/exchange of am/are working with the broker/exchange whose NOC is enclosed.
5. An employee of Rudra Group and the name of my employees is

Signature of the declarant 

NOC LETTER

RUDRA COMVENTURES PRIVATE LIMITED (FORMERLY KNOWN AS GIGANTIC COMMODITIES PRIVATE LIMITED)

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Regd. Off.: 73, Rajdhani, Nikunj Society, I.P. Extn. 94, Patparganj, Delhi-92

This is to state that S/o/D/o

..... R/o

..... is employee with this company and we have no objection if the said person opens an account for trading purpose with your company.

Yours faithfully,

(.....)

Mutual Acknowledgement-cum-Declaration Between Rudra Comventures Private Limited. and Internet Clients

We are mutually quite agree with these given terms and conditions -

1. The CLIENT is aware that authentication Technologies and strict security measures are required for internet trading 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.
2. The client agrees that the member shall not be liable or responsible for non-execution of the orders of the CLIENT due to any link system failure at the CLIENT / MEMBER/ EXCHANGE end.
3. The Member shall also send the order/trade confirmation slip through e-mail to the CLIENT at his request, within time period as specified by the CLIENT from the time of execution of orders/trade on the ODIN system, as the case may be. The CLIENT agrees that the information send by member by e-mail is deemed to be a valid delivery of such information by the member.
4. The CLIENT is aware that the member is provided on the website a facility for reconfirmation of orders, which are larger than that specified by the member's risk management, by the member and is also aware that the member has the Member has the discretion to reject the execution of such orders based on his risk perception.
5. The member and client are aware of the provisions of bye laws, rules and regulations of the Exchange relating to resolution of disputes/differences through the mechanism of arbitration provided by the Exchange and agree to abide by such provisions.
6. I/We do hereby confirm as having read understood and accepted the detailed terms and conditions relating to internet trading which have been provided by Rudra Comventures Pvt. Ltd. to me/us.

Name of Client

UCC of Client

For Rudra Comventures Private Limited

Signature 

Authorised Signatory

DECLARATION TO BE GIVEN BY HUF

RUDRA COMVENTURES PRIVATE LIMITED (FORMERLY KNOWN AS GIGANTIC COMMODITIES PRIVATE LIMITED)

Corp. Off.: Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur-208 001 (U.P.)

Regd. Off.: 73, Rajdhani, Nikunj Society, I.P. Extn. 94, Patparganj, Delhi-92

Dear Sir,

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

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

S. No.	Name	Date of Birth	Sex	Relation	Signature
1.					
2.					
3.					
4.					
5.					

Sign of Karta _____

Thanking you,
Yours faithfully,

For _____(HUF)

FORMAT OF BOARD RESOLUTION TO BE GIVEN BY CORPORATE CLIENT

(TO BE PRINTED ON LETTERHEAD OF COMPANY)

CERTIFIED TRUE COPY OF EXTRACTS OF THE MINUTES OF THE MEETING OF THE BOARD OF DIRECTORS OF(CO. NAME) CONVENED ON THE.....(DATE)/TIME AT.....(VENUE)

Resolved that an account for the purpose of trading in commodities be opened with M/s Rudra Comventures Pvt. Ltd. member Multi Commodity Exchange of India Ltd. (MCX), National Commodity & Derivatives Exchange of India Ltd. (NCDEX), hereinafter referred to as the broker, for undertaking sale & purchase of commodities on the said exchange(s).

Further resolved that shriand shri directors of the company, be and are hereby, authorized severally to do all such acts, deeds, things and sign all documents, papers, authorisations, agreements etc. as may be necessary for opening and operating the said account with the broker.

Further resolved that the aforementioned directors, be and are hereby, authorized severally, to give instructions on behalf of the company for conducting trading in commodities for and on behalf of the company.

Further resolved that, a copy of this resolution be forwarded to the broker by shri..... or shri.....directors, & the broker, be instructed to honour the instructions of shri.....and/or shri.....directors of the company to carry on trading in commodities.

certified true copy

for (name of the company)

director (s)

DECLARATION BY SOLE PROPRIETORSHIP FIRM ON LETTER HEAD OF THE FIRM

RUDRA COMVENTURES PRIVATE LIMITED (FORMERLY KNOWN AS GIGANTIC COMMODITIES PRIVATE LIMITED)

Corp. Off.: Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur-208 001 (U.P.)

Regd. Off.: 73, Rajdhani, Nikunj Society, I.P. Extn. 94, Patparganj, Delhi-92

Dear Sir,

I refer to the Commodity trading account opened / being opened with you in the name of and declare and authorise you as under.

I recognise that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operation, I authorise you to recognise the beneficiary account no.....with depositoryopened in the name of the undersigned who is the sole proprietor of the firm.

I agree that the obligation for Commodities purchased and / or sold by the firm will be handled and completed through transfers to / from the above mentioned account. I recognise and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

Signature (Please sign with stamp of the firm).....

Further I, the undersigned, am the sole proprietor of the firm and am solely responsible for the liabilities thereof, I shall advise you in writing of any change that takes place in the constitution of the firm and I will be personally liable to you for all the obligations that the firm may incur in the course of dealings with you and undertake to personally discharge such liabilities.

Yours truly,

Signature (Please sign without stamp of the firm).....

DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM ON LETTER HEAD OF THE FIRM

Date : _____

RUDRA COMVENTURES PRIVATE LIMITED (FORMERLY KNOW AS GIGANTIC COMMODITIES PRIVATE LIMITED)

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Regd. Off.: 73, Rajdhani, Nikunj Society, I.P. Extn. 94, Patparganj, Delhi-92







Dear Sir,

We refer to the Commodity account opened / being opened with you in the name of.....
.....and declare and authorise you as under.

We recognise that a beneficiary account cannot be opened with a depository participant in the name of a Partnership firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorise you to recognise the beneficiary account No.....
.....with depository.....opened as a joint account in the names of the partners of the firm.

We agree that the obligation for Commodities purchased and / or sold by the firm will be handled and completed through transfers to / from the above mentioned account. We recognise and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

We hereby authorise....., partner in the firm to execute / sign and submit such documents, agreements deeds etc. as may be necessary to enter into the agreement and engage in business with Rudra Comventures Private Limited and to sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter for adjustment of balances in Inter Exchange Dealings.

NAME OF THE PARTNERS (IN BLOCK LETTERS)	SIGNATURES
	
	
	
	
	
	

DECLARATION-CUM-UNDERTAKING

घोषणा

मैं..... यह घोषणा करता हूँ कि मैंने

Rudra Comventures Pvt. Ltd. में अपना ट्रेडिंग खाता खोला है। उसके लिए मैंने अकाउंट ओपनिंग फॉर्म और विभिन्न कागजात पर हस्ताक्षर किये हैं जो कि अंग्रेजी भाषा में हैं। मुझे इसका हिंदी में मतलब समझा दिया गया है Rudra Comventures Pvt. Ltd. के नियम व शर्तों से सहमत हूँ।

मैं..... सुनिश्चित करता/करती हूँ मुझे Rudra Comventures Pvt. Ltd. में मेरा ट्रेडिंग अकाउंट खोलने के उपरान्त Uniform Risk Disclosure Document, Right and Obligations of Members, Authorized Persons and Clients, Do's and Don'ts, Policy And Procedure एवं मेरे द्वारा निष्पादित अन्य दस्तावेजों की एक प्रतिलिपि मुझे प्राप्त हो गयी है।

दिनांक :

स्थान :



हस्ताक्षर

GROUP COMPANY

Rudra Shares & Stock Brokers Ltd.

(Formerly Known as Gigantic Securities Ltd.)

Member : NSE, BSE, MSEI, CDSL



RUDRA COMVENTURES PRIVATE LIMITED

(Formerly Known as Gigantic Commodities Private Limited)

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Regd. Office : 73, Rajdhani Nikunj Society, I.P. Extn. 94, Patparganj, New Delhi-110092

Phone: +91-512-6711000 (30 Lines), 3913928 Fax : +91-512-3913929

E-mail : contactus@rudrashares.com • Website : www.rudrashares.com

REGIONAL OFFICES

GUJARAT :

404, 407 Ashvmegh Eligance
Bhudarpura Road Hirabaug
Ambawadi, Ahmedabad-380006
Ph.: +91-79-26461480 / 40022313

RAJASTHAN :

5th Floor, Room No. 505A & 505B, Crystall Mall,
A/3, Sawai Jai Singh Highway,
Khasa Kothi, Bani Park, Jaipur-302016
Ph.: +91-41-4001432

UTTAR PRADESH :

Office No. 8 & 9 Laxmi Cinema
Complex Mahmoorganj,
Varanasi-221010
Ph.: +91-542-2360270

UTTRAKHAND :

4, Ground Floor, Shiva Palace
57/19, Rajpur Road
Dehradun-248001
Ph.: +91-135-2650632

MEMBERSHIP

