Branch Code

Client Code

Employee Code

Branch
- Wealth
- HNI
- Retail

Authorised Person
To be mandatorily filled by Branches / Sub Brokers / Authorised Persons

<table>
<thead>
<tr>
<th>Name of the Branch / SB / AP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Branch / SB / AP Code</td>
</tr>
</tbody>
</table>

**Introducer Details:**

TWS Terminal ID ____________________________

Introducer (Please ✔ Tick)

- Branch
- Franchisee - SB/AP
- DSA / CP
- ABMML
- Others

Employee Code ____________________________

DSA / CP Code ____________________________

Account Type:

- Trading & Demat
- Only Trading
- Only Demat

Account Mode (Please ✔ Tick)

- Offline
- Online

Scheme (Please ✔ Tick)

- Normal
- Margin (above Rs. 50,000)
- Empower
- Corporate
- Trader
- Others

Verified by - Account Opening Department:

Name: ____________________________ Signature: ____________________________

**Introducer Details - Optional**

Name of the Introducer ____________________________

Surname: ____________________________ Name: ____________________________ Middle Name: ____________________________

Status of the Introducer

- Sub-Broker
- Remisier
- Authorized Person
- Existing Client
- Employee
- Others (Please specify) ____________________________

Address of the Introducer ____________________________

Phone No. of the Introducer ____________________________ Signature of Introducer ____________________________

Affiliation / Employment with Aditya Birla Group

- Are you an employee of ABG
- Related to employee of ABG
- Ex-employee of ABG
- Business relationship with ABG

Name of Company: ____________________________ Designation: ____________________________

No. of years of association: [Y Y]

**ACCOUNT OPENING KIT INDEX**

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.</td>
<td>Account Opening Form</td>
<td>Document captures the basic information about the constituent.</td>
<td>1-2</td>
</tr>
<tr>
<td></td>
<td>Annexure 1 - Part II - Document captures the additional information about the Client.</td>
<td>3-7</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>Tariff sheet</td>
<td>Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the Commodity Exchange(s).</td>
<td>8</td>
</tr>
<tr>
<td>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>Suitability Assessment Questionnaire</td>
<td>Document captures the basic information about the constituent.</td>
<td>9-10</td>
</tr>
<tr>
<td>4.</td>
<td>Voluntary Authorization Letter</td>
<td>Voluntary Authorization Letter - Document authorizing the broker to maintain running account, to send documents through E-mail and declaration of contact number.</td>
<td>11</td>
</tr>
<tr>
<td>5.</td>
<td>Electronic Contract Note [ECN]-Declaration</td>
<td>Electronic Contract Note [ECN]-Declaration by the client for opting to receive electronic contract note.</td>
<td>12</td>
</tr>
<tr>
<td>6.</td>
<td>Consent form for receiving trade alerts through SMS and/or E-mail</td>
<td>Consent form for receiving trade alerts through SMS and/or E-mail - Document of client consent for receiving trade alerts through SMS and/or E-mail from the Exchange.</td>
<td>13</td>
</tr>
<tr>
<td>7.</td>
<td>Mobile / Email Declaration</td>
<td>Declaration for updating same mobile number and email address for trading and demat account</td>
<td>14</td>
</tr>
</tbody>
</table>
STOCKS & SECURITIES
Aditya Birla Commodities Broking Limited

Application Type* □ New □ Update Application No.

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual
For office use only
(To be filled by financial institution) KYC Number ____________________________ *(Mandatory for KYC update request)
Account Type* □ Normal □ Simplified (for low risk customers) □ Small

1. PERSONAL DETAILS *(Please refer instruction A at the end)*

Name* (Same of ID proof) Prefix First Name Middle Name Last Name
Maiden Name (If any*)
Father / Spouse Name*
Mother Name*
Date of Birth* D D - M M - Y Y Y Y
Gender* □ M-Male □ F-Female □ T-Transgender
Marital Status* □ Married □ Unmarried □ Others
Citizenship* □ IN-Indian □ Others (ISO 3166 Country Code □)
Residential Status* □ Resident Individual □ Non Resident Individual
□ Foreign National □ Person of Indian Origin
Occupation Type* □ S-Service *(□ Private Sector □ Public Sector □ Government Sector)*
□ O-Others *(□ Professional □ Self Employed □ Retired □ Housewife □ Student)*
□ B-Business □ X - Not Categorised

PHOTO Signature / Thumb Imprint

2. TICK IF APPLICABLE ** RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA *(Please refer instruction B at the end)*

ADDITIONAL DETAILS REQUIRED* *(Mandatory only if section 2 is ticked)*
ISO 3166 Country Code of Jurisdiction of Residence*
Tax Identification Number or equivalent (if issued by jurisdiction)*
Place / City of Birth* ISO 3166 Country Code of Birth*

3. PROOF OF IDENTITY *(Pol)* *(Please refer instruction C at the end)*
(Certified copy of any one of the following Proof of Identity [Pol] needs to be submitted)
□ A-Passport Number Passport Expiry Date D D - M M - Y Y Y Y
□ B-Voter ID card C-PAN Card
□ D-Driving Licence Driving Licence Expiry Date D D - M M - Y Y Y Y
□ E-Aadhaar F-NREGA Job Card
□ Z-Others (any document notified by the central government) Identification Number
□ S-Simplified Measures Account-Document Type code Identification Number
4. **PROOF OF ADDRESS (PoA)**

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

- **Address Type**
  - Residential
  - Residential
  - Business
  - Registered Office
  - Unspecified

- **Proof of Address**
  - Passport
  - Driving Licence
  - UID (Aadhaar)
  - Voter Identity Card
  - NREGA Job Card
  - Others
  - Simplified Measures Account-Document Type code

- **Address**
  - Line 1*
  - Line 2
  - Line 3
  - District*
  - City/Town/Village*
  - Pin/Post Code*
  - State/U.T. Code*
  - ISO 3166
  - Country Code*

4.2. **CORRESPONDENCE / LOCAL ADDRESS DETAILS**

(Same as Current / Permanent / Overseas Address details)

- **Line 1**
- **Line 2**
- **Line 3**
- **District**
- **City/Town/Village**
- **Pin/Post Code**
- **State/U.T. Code**
- **ISO 3166**
- **Country Code**

4.3. **ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES**

(Same as Correspondence / Local Address details)

- **Line 1**
- **Line 2**
- **Line 3**
- **District**
- **City/Town/Village**
- **Pin/Post Code**
- **State/U.T. Code**
- **ISO 3166**
- **Country Code**

5. **CONTACT DETAILS**

(All communications will be sent on provided Mobile no./ Email Id) (Please refer instruction F at the end)

- **Tel. (Off)**
- **Mobile**
- **Fax**
- **Email ID**

6. **DETAILS OF RELATED PERSON**

(In case of additional related persons, please fill 'Annexure B', available in our website "www.stocksecurities.adityabirlacapital.com") (Please refer instruction G at the end)

- **Addition of Related Person**
- **Deletion of Related Person**
- **Guardian of Minor**
- **Assignee**
- **Authorized Representative**

- **Name**
  - Prefix
  - First Name
  - Middle Name
  - Last Name

(IF KYC number and name are provided, below details of section 6 are optional)

6. **PROOF OF IDENTITY [PoI] OF RELATED PERSON**

(See please instruction H at the end)

- **A-Passport Number**
- **B-Voter ID card**
- **C-PAN Card**
- **D-Driving Licence**
- **E-UID (Aadhaar)**
- **F-NREGA Job Card**
- **Z-Others (any document notified by the central government)**
- **S-Simplified Measures Account-Document Type code**

7. **REMARKS (if any)**

8. **APPLICANT 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.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

**Date:** D D - M M - Y Y Y Y **Place:**

1. Signature/Thumb Impression of Applicant
### A. Other Details

<table>
<thead>
<tr>
<th>a. Educational qualification</th>
<th>Under Graduate or less</th>
<th>Graduate</th>
<th>Post Graduate</th>
</tr>
</thead>
<tbody>
<tr>
<td>b. Residing in</td>
<td>Own House</td>
<td>Rented house</td>
<td>Leased property</td>
</tr>
<tr>
<td>c. Occupation</td>
<td>Government Services</td>
<td>Public Sector</td>
<td>Private Sector</td>
</tr>
<tr>
<td></td>
<td>Student</td>
<td>Housewife</td>
<td>Agriculturist</td>
</tr>
<tr>
<td></td>
<td>Professional</td>
<td>Finance</td>
<td>Doctor</td>
</tr>
<tr>
<td></td>
<td>Others (Please Specify)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. Source of Income</td>
<td>Primary Income:</td>
<td>Salary</td>
<td>Business</td>
</tr>
<tr>
<td></td>
<td>Secondary Income:</td>
<td>Rental</td>
<td>Dividend</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Interest on Investments</td>
</tr>
<tr>
<td>e. Total Work Experience</td>
<td>1-3 years</td>
<td>3-7 years</td>
<td>7-10 years</td>
</tr>
<tr>
<td>f. Gross Annual Income</td>
<td>Income Range per annum</td>
<td>Below Rs. 1 Lac</td>
<td>1-5 Lacs</td>
</tr>
<tr>
<td></td>
<td>Details (please specify)</td>
<td>10-25 Lacs</td>
<td>&gt; 25 Lacs</td>
</tr>
<tr>
<td>g. Please tick</td>
<td>Politically Exposed Person</td>
<td>Related to a Politically Exposed Person</td>
<td>None</td>
</tr>
<tr>
<td>(Whichever is applicable)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note: Provide a copy of cancelled cheque leaf / pass book / bank statement specifying name of the client, MICR code or / and IFSC code of the bank.

### B. Bank Details (Through which transactions would be routed. Details & proof of bank account(s) is required)

<table>
<thead>
<tr>
<th>Account Type</th>
<th>Savings</th>
<th>Current</th>
<th>Others (Please specify)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bank Account No.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MICR Number</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bank Name</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bank Address</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>City</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pincode</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Country</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Please provide additional bank account details (if any) as annexures with proofs.
C. Information in relation to the Prevention of Money Laundering Act, 2002

Income / net worth / occupation / PEP details provided herein above and the same may be considered under PMLA requirements.

I undertake to update my financial position as required by the regulator.

I confirm that I will immediately inform ABCBL in case am convicted or any action is taken against me by any government / judicial authority.

I intend to invest in the commodity market with:  [ ] Own Funds  [ ] Borrowed Funds

In case of borrowed funds, please specify the source of funds:

I hereby declare that I am beneficial owner of the trading account opened with ABCBL.

FOR OFFICE USE ONLY

RISK CATEGORY:
[ ] HIGH  [ ] MEDIUM  [ ] LOW

D. Foreign Account Tax Compliance Act (FATCA)

In order to comply with FATCA and Common Reporting Standards (CRS) norms, we request you to kindly provide the following details:

a. Are you person with US Indicia:  [ ] Yes  [ ] No

b. Please specify your country of Birth

c. Place of Birth: ____________________________ (Place of Birth is not required if country of birth is India)

d. Are you a US Person:  [ ] Yes  [ ] No

e. Are you taxable in any other country:  [ ] Yes  [ ] No

E. Depository Account(s) Details, if available

| Depository Participant Name: ADITYA BIRLA MONEY LIMITED | Depository Name: CDSL / NSDL |
| DP ID | Beneficiary ID (BO ID) |

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

F. 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.

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Name of the National Commodity Exchanges</th>
<th>Date of Consent for trading on concerned Exchange</th>
<th>Segment</th>
<th>Signature of the Client</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Multi Commodity Exchange of India Limited</td>
<td>D D M M Y Y Y Y</td>
<td>Futures &amp; Options</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>National Commodity and Derivatives Exchange Limited</td>
<td>D D M M Y Y Y Y</td>
<td>Futures &amp; Options</td>
<td></td>
</tr>
</tbody>
</table>

[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]

G. Investment/Trading Experience

[ ] No Prior Experience  [ ] If Yes, _______ Years in Commodities _______ Years in Other investment related fields

<table>
<thead>
<tr>
<th>Category</th>
<th>New to Market</th>
<th>Basic Knowledge</th>
<th>Good Knowledge</th>
<th>Expert</th>
<th>Current Investment in</th>
<th>0-5 lacs</th>
<th>5-10 lacs</th>
<th>10-25 lacs</th>
<th>&gt;25 lacs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equity</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Futures</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Options</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Currency</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Commodity</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
H. SALES TAX REGISTRATION DETAILS (As applicable, State wise) *

<table>
<thead>
<tr>
<th>Local Sales Tax (Details of all states where registered)</th>
<th>State</th>
<th>Registration No.</th>
<th>Validity Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Central Sales Tax</td>
<td></td>
<td>Registration No.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Validity Date</td>
<td></td>
</tr>
</tbody>
</table>

I. VAT DETAILS (As applicable, State wise) *

<table>
<thead>
<tr>
<th>Local VAT (Details of all states where registered)</th>
<th>State</th>
<th>Registration No.</th>
<th>Validity Date</th>
</tr>
</thead>
</table>

*Mandatory Fields (Please provide additional tax registration details as annexure)

J. Past Regulatory Actions

Please provide details of any action/proceedings initiated/pending/taken by SEBI/Stock exchange/Commodity exchange/any other authority against the client during the last 3 years:

K. Dealing through other Members

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

- Member’s/Authorized Person (AP)’s Name
- Exchange
- Exchange’s Registration number
- Concerned Member’s Name with whom the AP is registered
- Registered office address
- Phone
- Fax
- E-mail
- Website
- Client Code
- Details of disputes/dues pending from/to such Member/AP

J. Additional Details:

Whether you wish to receive communication from Member in electronic form on your Email-id (☐ Yes / ☐ No)

(If yes then please fill in Appendix-A)

K. Nomination Option

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

Name of Nominee Mr./Ms. ____________________________

Date of Birth D D M M Y Y Y Y (mandatory If nominee is a minor)

Relationship with Applicant (if any) ____________________________

PAN/UID of the Nominee ____________________________

Address of Nominee

City/Town/Village ____________________________

State ____________________________ Country

Pin Code ____________________________
Contact Details of Nominee
Tel. (Off.)                      Tel. (Res.)
Mobile                          Fax
E-Mail Id.

To be filled-up only if nominee is a minor
Name of Guardian
(in case of minor nominee)

Address of Guardian

City / Town / Village
State                        Country
Pin Code

Contact Details of Guardian
Tel. (Off.)                      Tel. (Res.)
Mobile                          Fax
E-Mail Id.

Relationship of Guardian with Nominee

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

Signature of Nominee
Signature of Guardian

Date  D  D  M  M  Y  Y  Y  Y  
Nomination Registration No:

Two witnesses shall attest signature(s) / thumb impression(s) (only applicable in case the account holder has made nomination)

1) Name
   Address
   Signature

2) Name
   Address
   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 ‘Rights and Obligations’ document(s), ‘Risk Disclosure Document’, ‘Do's and Don'ts’, Additional (Voluntary) Rights and Obligations and Running Account Authorisation. 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.stocksandsecurities.adityabirlacapital.com

4. I/We further confirm having received the following documents by way of a separate booklet:
   a. Rights and Obligations of Members, Authorised Person and Clients
   c. Do’s and Don’ts for the Investors
   d. Additional (Voluntary) Rights and Obligations
   e. Policies & Procedures

5. I/We hereby declare that the details furnished under FACTA are true and correct to the best of my/our knowledge and belief. In case of any change in the given status on a future date, I/We undertake to inform ABCBL the same within 30 days. I/We agree that as may be required by domestic regulators/tax authorities, ABCBL may also be required to report, reportable details to CBDT/regulatory authority and comply with its direction

Signature of Client

Place: ___________________________
Date: D D M M Y Y Y Y

FOR OFFICE USE ONLY

UCC Code allotted to the Client: ___________________________

<table>
<thead>
<tr>
<th>Documents verified with Originals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of the Employee/ Authorised Person</td>
</tr>
<tr>
<td>Employee Code/AP Regn. No.</td>
</tr>
<tr>
<td>Designation of the employee</td>
</tr>
<tr>
<td>Date</td>
</tr>
<tr>
<td>Signature</td>
</tr>
</tbody>
</table>

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 Don’t’s and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the tariff sheet and all the voluntary / non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the ‘Rights and Obligations’ and RDD would be made available on my/our website, if any, for the information of the clients.

For Aditya Birla Commodities Broking Limited

Authorised Signatory
Date: D D M M Y Y Y Y
Seal/Stamp of the Member
<table>
<thead>
<tr>
<th>Description of Charges</th>
<th>Statutory Rate</th>
<th>Standard Rate</th>
<th>Agreed Brokerage Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Account Opening Charges</td>
<td>As decided by the Member</td>
<td>Rs. 750</td>
<td></td>
</tr>
<tr>
<td>Delivery Brokerage</td>
<td>2% (plus expenses)</td>
<td>0.5%</td>
<td></td>
</tr>
<tr>
<td>Buying and Selling of Derivative Contracts</td>
<td>1%</td>
<td>0.05%</td>
<td></td>
</tr>
</tbody>
</table>

*The delivery charges for Bullion/Metals and Agricultural commodities varies as per exchange norms and guidelines
*The delivery Brokerage will vary according to the commodity intended for delivery

Terms & Conditions:

1. Document handling charge of Rs. 25 shall be applicable to delivery of all documents in physical mode. However if a customer who has opted to receive documents in electronic mode receives documents in physical mode (due to bounce of mails or otherwise), document handling charge of Rs. 50 shall be applicable.

2. In case the total brokerage earned per exchange is not exceeding Rs. 50/- then a sum of Rs. 50/- or such other sum as may be decided by the Member will be charged per exchange as minimum processing fee.

3. Brokerage rates indicated above are exclusive of all statutory levies / taxes and charges levied by Exchanges.

4. Goods and Services Tax and other statutory levies as prescribed by Government and Regulatory authorities from time to time, would be applicable.

5. Brokerage rate / interest on the amounts lent by the Stock Broker to the client towards Commodities transactions and / or margin requirements / Taxes / Levies / Tariff / Service standards are subject to change. Member shall have the sole discretion in change of applicable interest on the amounts lent by it to the client towards Commodities transactions and / or margin requirements / Taxes / Levies / Tariff changes (if any) would be communicated to clients through e-mail / ordinary post / website upload / SMS and such communication shall suffice as notice of change in Brokerage rates / Interest / Taxes / Levies / Tariff.

6. Additional services (if any) would be charged separately.

7. An account opening fee of Rs. 750/- is applicable unless the same is waived based on the scheme chosen by the client. The fee is also applicable if the client fails to comply with the terms & conditions of a specific scheme.

8. Account opening charges would not be refunded if the account is not opened due to non-submission of required details/documents by client.

9. Standard brokerage as mentioned above would automatically be applicable in case tariff is not agreed upon for any segment.

10. Any deviation in the brokerage / volume commitment (basis which a lower brokerage is charged) will result in revision of the lower brokerage rate to standard rate of brokerage (rack rates) as specified in the tariff sheet above or the maximum statutory brokerage specified by Regulator / Exchanges with retrospective effect.

11. Bank charges like NEFT / RTGS / Cheque return charges shall be borne by the client only.

Signature of Client
### Voluntary Document

**Suitability Assessment cum Declaration**

Please respond to the below questionnaire to review suitability for trading in Securities market (including derivatives segment)

<table>
<thead>
<tr>
<th>Questionnaire</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Do you understand that dealing / trading in derivatives markets is subject to performance of commodities / securities / volatility / market risk and forces affecting commodities market and there is no assurance that your investment objectives will be achieved. Likewise do you understand that research recommendations are also subject to the above mentioned risks.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Do you understand that trading in derivatives segment is based on leveraging and is subject to high risk due to volatility and price fluctuations? Hence, do you understand that trading in derivative contracts requires high risk appetite.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Do you know that trading in derivatives contracts typically requires additional capital in the form of Margin s / or topping up of Mark to Market (M2M) losses, which in turn, would require sound financial background and knowledge to withstand any volatility in the market?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

➢ You are advised to avoid trading in commodities market if:

- You have answered 'No' to any of the questions above
- Your age is above 60 years and you are a retired person
- You have no prior experience of dealing in intraday trading / trading in derivative contracts
- You are looking for returns of fixed amount or protection of principal or growth in capital
- You are not a person of trader profile and prefers low risk low return investment strategy
- Investment you are considering in intraday trading / trading derivative contracts is more than 10% of your total investment surplus / savings corpus.

### INVESTMENT DETAILS

<table>
<thead>
<tr>
<th>Category</th>
<th>New to Market</th>
<th>Basic Knowledge</th>
<th>Good Knowledge</th>
<th>Expert</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equity</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Futures</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Options</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Currency</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Commodity</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Current Investment in</td>
<td>0-5 lacs</td>
<td>5-10 lacs</td>
<td>10-25 lacs</td>
<td>&gt;25 lacs</td>
</tr>
<tr>
<td>FD</td>
<td>Securities</td>
<td>Bond</td>
<td>Mutual Funds</td>
<td>House Property/Land</td>
</tr>
</tbody>
</table>

### Declaration

I have reviewed the suitability assessment questionnaire given above and based on my risk assessment, financial background and investment objective, I confirm that trading in derivative contracts is appropriate or suitable for me. Further by signing this document, I confirm that I have been apprised of the risks involved in investing in commodities market and in particular all types of derivative contracts.

I confirm that there is no assurance on profits or any fixed or guaranteed return while executing transactions in the commodities market. I confirm that the research recommendations disseminated by ABCBL through its employees/associates are incidental to its broking services and transactions affected basis the same are in good faith and are I authorize the same.

I also confirm that I will not hold ABCBL or its group companies, associates or any of its employees, directors, officers or/authorized persons responsible or liable for any direct or indirect, punitive, special or exemplary damages, for any profit/loss arising or resulting due to transactions effected in my trading account.

I may, in advance, instruct the dealer for placement of orders in my trading account basis market events/market view/recommendations and I may not be available for re-confirmation on such order placement. I also understand that all orders placed in the derivative segment/trade confirmations with account balances are sent to my registered mobile
number. I also understand that contract notes, margin bills, statement of accounts, profit and loss statements, (if any) are sent to my registered e-mail id and I shall bring any discrepancy therein to your notice within 24 hours from the date of receipt of the said details/documents, in writing, failing which it shall be legally construed that the transactions have been effected by me and I shall not challenge the same in any forum / court of law. I further confirm the levy of interest on the amounts lent by the Stock Broker towards Commodities transactions and / or margin requirements and payable by me in my trading / demat accounts as agreed by me in the tariff sheet and I undertake not to challenge the levy of such interest at a later point of time.

I further agree that I may acknowledge net positions / statement of accounts / statement of transactions / profits and loss statements by affixing my signature on the said documents and that would amount to confirmation of transactions effected in my trading account and would not be disputed in any manner at any point of time. I have been informed and I acknowledge that ABCBL does not authorize any of its employees to send any details/documents pertaining to my trading accounts and I shall not depend upon or take into consideration any mail / document shared by any employee of ABCBL except the mails / documents received from the below mentioned email ids:

<table>
<thead>
<tr>
<th>Documents</th>
<th>E Mail ID</th>
</tr>
</thead>
</table>
| Contract Note              | ereports.stocksandsecurities@adityabirlacapital.com  
ebills.stocksandsecurities@adityabirlacapital.com |
| Statement of accounts      | ebills.stocksandsecurities@adityabirlacapital.com  
care.stocksandsecurities@adityabirlacapital.com |

I understand that surveillance department of ABCBL on a random basis will seek confirmation as to whether am trading through my trading account and affirmative confirmations to that effect would be deemed by ABCBL as confirmation of all transactions effected in my account and I undertake not to challenge the same in any manner at a later point of time as the transactions are owned by me upon such confirmation.

I confirm having read and understood all the contents of the suitability assessment cum declaration as given hereinabove and I agree to the same.

(Signature of the client)
VOLUNTARY AUTHORIZATION LETTER

To:

Aditya Birla Commodities Broking Limited
Ali Centre, 53, Greams Road, Chennai-600 006.

Sub: Voluntary Authorization Letter

Ref: 1. Trading account no: ________________________________

1. Running Account Authorization

I request you to maintain my trading account on a running account basis and retain the available credit balance i.e. funds towards my margin/pay-in/other future obligation(s) of Exchange(s) unless I instruct you otherwise. I agree that no interest need be paid in respect of funds so retained by you.

I request you to retain securities with you (accruing by way of transfers effected by me) for my margin/obligation(s) of any or all the Exchange(s), unless I instruct you to transfer the same to my demat account.

I request you to settle my funds and securities once in six months or such other higher period allowed by SEBI/Exchange(s) from time to time.

I authorize you to maintain a minimum credit balance of Rs.50,000/- at any point in my trading account from the amounts due and payable to me.

I also authorize you to transfer/adjust all the additional funds and securities lying to my credit in my trading account against my settlement obligations in any of the segments in any of the Exchanges in which I have opted to trade.

I confirm that this running account authorization can be revoked by me at any point of time.

2. Authorization for Sending documents through E-Mail

Trading

I here by authorize you to send any and all documents pertaining to my trading account (including but not limited to Electronic Contract Notes/Statement of Funds/Margin Bills/Notices/Letters/Trade Confirmations/Circulars/Amendments, Notifications, Promotional Mailers etc.) to the below mentioned e-mail id.

E-mail ID: _____________________________________________

I hereby declare that I have read and understood Rights and Obligations of Member, Authorised Persons and Clients Additional Rights and Obligations pertaining to ECN/Delivery of Documents and agree to the same.

3. Contact Number Declaration

I confirm and declare that the client contact number(s) given in the KYC Form or any updation the reta (either in writing or through Internet) belong to me/my relative/my acquaintance and as such authorize you to either call or send any/all information pertaining to my trading account and/or any promotional material related to financial products manufactured/distributed by you or your group/associate companies (including but not limited to alerts confirmations/passwords/research recommendations/intimation of account balances/commercial communication etc.) on the said contact numbers.

I further confirm that I will neither hold you or your service provider liable nor will institute complaint under the Telecom Commercial Communications Customer Preference (TRAI) Regulations 2010 or such other applications legislations including amendment thereof.

I further agree and confirm to the applicability of all Regulations/Rights and Obligations/Additional (Voluntary) Rights and Obligations/Circulars issued by SEBI/Exchanges and Additional Rights and Obligations pertaining to receipt of communication on contact numbers in addition to this declaration.

7 (Sole / First Holder) (Second Holder) (Third Holder)
APPENDIX - A ELECTRONIC CONTRACT NOTE [ECN] - DECLARATION

(VOLUNTARY)

To,

Aditya Birla Commodities Broking Limited
All Centre, 53, Greams Road, Chennai – 600 006.

Dear Sir,

I, ________________________________ a client with Member M/s. ADITYA BIRLA COMMODITIES BROKING LIMITED of Multi Commodity Exchange of India Ltd. (MCX) / National Commodity & Derivatives Exchange Ltd. (NCDEX) 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 my self 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

PAN

Address

City / Town / Village

State

Pin Code

Country

Unique Client Code

Signature of the Client

Date

Place

For Member Office Use Only

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

Signature

Date: D D M M Y Y Y Y

12
CONSENT FORM FOR RECEIVING TRADE ALERTS THROUGH SMS AND / OR E-MAIL

Date:

To,

Aditya Birla Commodities Broking Limited
MCX Member ID: 28730
NCDEX Member ID: 00158
No 53, Ali Centre,
Greams Road, Chennai - 600 006

Dear Sir,

Exchanges: [ ] MCX [ ] NCDEX

I/we, [______________________________], a Client with Aditya Birla Commodities Broking Limited, undertake as follows:

1. I/We are aware that Multi Commodity Exchange (MCX) and National Commodity & Derivatives Exchange Ltd (NCDEX) provides the details of the trades executed on its trading platform to the concerned clients/constituents through SMS and E-mail alerts.

2. I/We are aware that the Member has to provide the trade details through SMS/E-mail alerts for my convenience at my request only.

3. I/We here by confirm that I/ we wish to receive the trade alerts through:
   a. SMS: [ ]
   b. E-mail: [ ]
   c. SMS and E-mail: [ ]

4. I do not want to receive any transaction alerts, specify reason [______________________________]

5. The alerts should be sent on
   a. Mobile Number: [______________________________]
   b. Email Address: [______________________________]

I/we hereby agree to the terms and conditions specified by MCX vide circulars No. MCX/T&S/165/2012 dated April 26, 2012 and NCDEX vide circular NCDEX/COMPLIANCE-007/2012/093 and circulars/clarifications issued by the Exchange from time to time in this regard. We/I are/am aware that the receipt of SMS/Email alerts on the above mobile number and/or email address can be stopped only on our/my written request. We are also aware that this is an additional facility provided by the Exchange and we shall not solely rely or use such data for any purpose and, Exchange shall not be liable for any direct or indirect loss of any nature because of providing this additional facility.

Client Name: [______________________________]  Client Signature: [______________________________]

Unique Client Code: [______________________________]  PAN: [______________________________]

13
DECLARATION FOR UPDATING MOBILE NUMBER AND EMAIL ADDRESS FOR TRADING AND DEMAT ACCOUNT
(Only under exceptional circumstances)

To,

Aditya Birla Commodities Broking Limited
Ali Centre,
No 53, Greasms Road,
Chennai – 600 006

I hereby confirm that the mobile number / email id provided by me as per KYC belongs to

<table>
<thead>
<tr>
<th>Mobile</th>
<th>Self / Spouse / Dependent Children / Dependent Parents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Email</td>
<td>Self / Spouse / Dependent Children / Dependent Parents</td>
</tr>
</tbody>
</table>

I hereby confirm that the mobile number / email id provided by me has also been updated to my other family member accounts as given below. I request you to kindly update the same mobile number and / or E-mail ID to my trading and / or demat account also.

<table>
<thead>
<tr>
<th>Client Code of the Family Member</th>
<th>Demat ID of the Family Member</th>
<th>Family* Members Name</th>
<th>Mobile Number</th>
<th>Email ID</th>
<th>Relationship with the Client</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

“Family” for this purpose would mean self, spouse, dependent children and dependent parents

I hereby declare that the details furnished are true and correct to the best of my knowledge and belief. I further undertake to keep you informed about the changes in the mobile number/email id and non-receipt of such updation may be construed that the above given mobile number/email id is valid and subsisting.

In case any of the above information is found to be false or untrue or misleading of misrepresenting, I am aware that I may be held liable for it.

Client Name: ________________________

Client Signature: ____________________

Client ID: ___________________________
ADITYA BIRLA COMMODITIES BROKING LIMITED

<table>
<thead>
<tr>
<th>Registered Office</th>
<th>Corporate Office</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indian Rayon Compound, Veraval, Gujarat - 362 266.</td>
<td>Ali Centre, No. 53, Greams Road, Chennai - 600 006.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SEBI Registration Numbers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Multi Commodity Exchange of India Limited</td>
</tr>
<tr>
<td>National Commodity and Derivatives Exchange Limited</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Exchange Membership Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Multi Commodity Exchange of India Limited</td>
</tr>
<tr>
<td>National Commodity and Derivatives Exchange Limited</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Director</th>
<th>Compliance Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mr. TUSHAR SHAH</td>
<td>Mr. MURALIKRISHNAN L.R.</td>
</tr>
<tr>
<td>Telephone No.: +91 - 44 - 3919 0002 / 03</td>
<td>Telephone No.: +91-44-3919 0002 / 03</td>
</tr>
<tr>
<td>E-mail ID: <a href="mailto:ceo.stocksandsecurities@adityabirlacapital.com">ceo.stocksandsecurities@adityabirlacapital.com</a></td>
<td>E-mail ID: <a href="mailto:compliance.stocksandsecurities@adityabirlacapital.com">compliance.stocksandsecurities@adityabirlacapital.com</a></td>
</tr>
</tbody>
</table>

Please contact Aditya Birla Commodities Broking Limited at the above address or mail us at care.stocksandsecurities@adityabirlacapital.com or call our customer care department @ Toll free no: 1800-270-7000. In case not satisfied with the response, please contact the concerned exchange(s) at:

Contact details in case of Grievance / Dispute:

<table>
<thead>
<tr>
<th>Name</th>
<th>Telephone Number</th>
<th>E-mail ID</th>
</tr>
</thead>
<tbody>
<tr>
<td>Multi Commodity Exchange of India Limited</td>
<td>022 - 6731 8888</td>
<td><a href="mailto:grievance@mcxindia.com">grievance@mcxindia.com</a></td>
</tr>
<tr>
<td>National Commodity and Derivatives Exchange Limited</td>
<td>022 - 6640 6609</td>
<td><a href="mailto:askus@ncdex.com">askus@ncdex.com</a></td>
</tr>
</tbody>
</table>