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DISCLOSURE INFORMATION OF PROPRIETARY TRADING

To increase transparency in the dealings between us as a Trading Member and you as a Client
we do hereby disclose that apart from Client based Trading,
we also do Proprietary Based Trading (self account)
on NCDEX and MCX Exchange .



TRADE WINDS COMMODITIES & DERIVATIVES PVT. LTD.

: CORPORATE MEMBER OF:

NATIONAL COMMODITY AND DERIVATIVES EXCHANGE LTD. (NCDEX)

MULTI COMMODITY EXCHANGE OF INDIA LTD. (MCX)

REGISTERED OFFICE :

106, STERLING ARCADE, RACE COURSE ROAD, INDORE - 452003 (M.P.)

• TEL.: (0731) 4007200, 4022291 • FAX: (0731) 4022270

• E-mail : askus@tradewindsindia.com / twipl_indore@yahoo.co.in

• Website: www.tradewindsindia.com

EXCHANGE	SEGMENT	FMC UNIQUE MEMBERSHIP CODE (UMC)	SEBI REGISTRATION NO.
NCDEX	COMMODITY	NCDEX/TCM/CORP/0524	INZ000080237
MCX	COMMODITY	MCX/TCM/CORP/0188	INZ000080237

CLEARING MEMBER	
NCDEX	MCX
TRADE WINDS COMMODITIES & DERIVATIVES PVT. LTD. MEMBER CODE : 00545	TRADE WINDS COMMODITIES & DERIVATIVES PVT. LTD. MEMBER CODE : 16425

COMPLIANCE OFFICER : Name : Phone No. : (0731) 4239467 E-mail : twipl_indore@yahoo.co.in	CHIEF OPERATING OFFICER (COO) : Name : Phone No. : (0731) 4007200 E-mail :
PRINCIPAL OFFICER : : Name : Mr. Rohit Vijayvergiya Phone No. : (0731) 4239467 E-mail : rohit.vijayvergiya@tradewindsindia.com	

For any grievance & dispute please contact Trade Winds Commodities & Derivatives Pvt. Ltd. at the above address or email id - grievancescell@tradewindsindia.com and Phone no. 0731 - 4239467. In case not satisfied with the response, please contact the concerned exchange(s) at		
Exchange Name	Email ID	Phone no
MCX	grievance@mcxindia.com	(022) 66494000 / 67318888
NCDEX	askus@ncdex.com	(022) 66406789

C. OTHER DETAILS

For Individual Gross Annual Income (per annum). Please tick any of the options.	<input type="checkbox"/> 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 10,00,000	<input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000
	<input type="checkbox"/> Above Rs. 25,00,000	
Networth (Networth detail is compulsory for non-individuals clients)	As on date : <u>DD</u> / <u>MM</u> / <u>YYYY</u> (Rs. _____) Networth should not be older than 1 Year	
Occupation (please tick any one & give brief detail). In case of Individuals Applicants	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Services <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Farmer <input type="checkbox"/> Others _____	
Please Tick (if applicable)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> Not a Politically Exposed Persos (PEP) <input type="checkbox"/> Not Related to a Politically Exposed Person (PEP)	
# If you have landline connection, kindly provide the same		

D. BANK ACCOUNT (S) DETAILS :

Bank Name	
Branch Address	
Account Number	
Account Type	Saving <input type="checkbox"/> Current <input type="checkbox"/> Others <input type="checkbox"/>
MICR Number	IFSC Code
Note : Provide a coopy of cancelled cheque leaf/pass book/bank statement specifying name of the client, MICR Code or/and IFSC Code of the bank.	

E. DEPOSITORY ACCOUNT (S) DETAILS, if available :

Depository Name	Name of DP	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
NSDL				
CDSL				
Note : Provide a coopy of either Demat Master or a recent holding statement issued by DP bearing name of the client.				

F. TRADING PREFERENCES : 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.

Sr. No.	Name of the National Commodity Exchange	Date of Consent for trading On concerned Exchange	Signature of the Client
1	Multi Commodity Exchange of India Ltd. (MCX)		
2	National Commodity and Derivatives Exchange Ltd. (NCDEX)		
3			

[If in future the client wants to trade on any new exchange seperate authorisation letter should be submitted by the client to the member.]

⊗ _____

G. INVESTMENT/TRADING EXPERIENCE

No Prior Experience If Yes Years in Commodities _____

Years in other investment related fields _____

H. SALES TAX REGISTRATION / GST DETAILS (As applicable, State wise)

Local Sales Tax	Central Sales Tax / GST	Other Sales Tax
a) State Registration No.	a) Registration No.	a) State Registration No.
c) Validity Date	b) Validity Date	b) Validity Date
c) Name of the State		c) Name of the State

I. VAT DETAILS (As applicable, State wise)

Local VAT	Other VAT
a) Registration No.	a) Registration No.
b) Validity Date	b) Validity Date
c) Name of the State	c) Name of the State

J. PAST REGULATORY ACTIONS

Details of any action/proceedings initiated/pending/ taken by FMC/ SEBI / Stock exchange / Commodity exchange/any other authority against the client 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 No. :	
Concerned Member's Name with whom the AP is registered :			
Registered office address :		Ph. :	
Fax :		Email :	
		Website :	
Client Code :			

Details of disputes / dues pending from / to such Member/AP : _____

L. INTRODUCER'S DETAILS (Optional)

Status of the Introducer	Authorised Person <input type="checkbox"/>		Existing Client <input type="checkbox"/>							
	Others Please Specify _____									
Name of the Introducer	First Name	Middle Name	Surname							
Address and Phone no	PIN									
Introducer's Signature										

M. 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} Yes No

N. NOMINATION DETAILS

I / We wish to Nominate I / We do not wish to Nominate

Name of the Nominee		Relationship with Nominee	
PAN of the Nominee		Date of Birth of Nominee	<u>DD</u> / <u>MM</u> / <u>YYYY</u>
Nominee Address			
Phone Number		Signature of Nominee	✓

If Nominee is a Minor, details of Guardian

Name of the Guardian			
Guardian Address			
Contact Number		Signature of Guardian	✓

Witness (Only Applicable in case the account holder has made nomination)

Witness Name		Witness Name	
Witness Signature	✓	Witness Signature	✓
Address		Address	

DECLARATION

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

Client Signature : ⊗
 Signature of Client / (all) Authorised Signatory (ies)
 Date : _____
 Place : _____

**FATCA / CRS Declaration & Supplementary KYC Information
DECLARATION FORM FOR INDIVIDUALS**

Please seek appropriate advice from your tax professional on your tax residency, related FATCA & CRS guidance

CLIENT NAME :									
S. No.		First / Sole Holder		Second Holder (if any)		Third Holder (if any)			
1	Are you U.S. Person ? (Refer KYC handout-Customer copy)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>		
2	Specify Country of Residence for tax purpose (Tax Residency)	India <input type="checkbox"/>	Other <input type="checkbox"/>	India <input type="checkbox"/>	Other <input type="checkbox"/>	India <input type="checkbox"/>	Other <input type="checkbox"/>		
3.	Specify Country of Citizenship	India <input type="checkbox"/>	Other <input type="checkbox"/>	India <input type="checkbox"/>	Other <input type="checkbox"/>	India <input type="checkbox"/>	Other <input type="checkbox"/>		

Note : If you are a U.S. person and / or if your tax residency / nationality / citizenship is other than India, then please provide declaration / self certifications under FATCA / CAR.

	First / Sole Holder or Guardain (in case of Minor)	Second Holder	Third Holder
Name			
Signature	⊗ ⊗	⊗ ⊗	⊗ ⊗

TARIFF SHEET

BROKERAGE

I Agree to the following terms of doing business in Commodity Segment :

BROKERAGE SLAB IN%	MINIMUM PAISA	OPEN POSITION CHARGES	ONE SITE & BOTH SIDE

Signature of Client _____

Name of the Client _____

Date _____ Place _____

FOR OFFICE USE ONLY

UCC Code Alloted to the Client

Documents verified with Original

Name of the Employee

Employee Code

Designation of the Employee

Date

Signature

I / We undertake that we have made the client aware of Policies and Procedures, 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 Policies and Procedures, 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 : Trade Winds Commodities & Derivatives Pvt. Ltd.

Date : DD / MM / YYYY

Signature of Authorised Signatory

POLICIES AND PROCEDURES

A) Policy for Penny Stock

Stock that trades at a relatively low price and market capitalization. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large bid-ask spreads, small capitalization and limited following and disclosure. Depend on the market condition and RMS policy of the Trading member reserve the right to refuse to provide the limit in Penny stocks and losses if any on account of such refusal shall be borne by client only.

B) Setting up client's exposure limits

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker. The stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in such securities through the stock broker. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

C) Applicable brokerage rate

Brokerage will be charged within the limits prescribed by SEBI / Exchange.

D) Imposition of penalty / delayed payment charges

Clients will be liable to pay late pay in/delayed payment charges for not making payment of their payin /margin obligation on time as per the exchange requirement / schedule at the rate of 1.5% per month.

The client agrees that the stock broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this mandatory client registration document / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

E) The right to sell client's securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues to the extent of settlement / margin related obligation

Without prejudice to the stock brokers other right (Including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the clients position without giving notice to the client for non payment of margins or other lawful amounts including the pay in obligation, outstanding debts and adjust the proceeds of such liquidation/close out, if any, against the clients trade clients liabilities / obligations. The client shall ensure timely availability of funds/securities in form and manner at designated time and in designated bank and depository account(s), for meeting his/her/its pay in obligation of funds and securities. Any and all losses and financial charges on account of such liquidations/closing out shall be charged to & born by the client. In cases of securities lying in margin account/client beneficiary account and having corporate actions like Bonus, Stock split, Right issue etc, for margin or other trade related purpose the benefit of shares due to received under Bonus, Stock split, Right issue etc will be given when the shares is actually received in the stock broker designated demat account.

In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit / credit for the same only on the realization of the funds from the said bank instrument etc.

F) Shortages in obligations arising out of internal netting of trades

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation / clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first.

In case of internal shortage of securities, any entry passed to the account of the client booked by fund transfer in accordance with the practice consistently followed by the trading member across all its clients shall be binding on the client.

G) Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client

The client is aware and agrees that in case of insufficient balance in his trading account on account of pay in / MTM / margin obligation or non payment of client's dues as per exchange norms, the trading member may refuse to allow further position and / or close the existing position of the client to make client account good.

H) Temporarily suspending or closing a client's account at the client's request

The client shall be entitled to temporarily suspend / close his account without giving any reason to the trading member, after giving notice in writing. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered in to prior to the termination of this mandatory client registration document shall continue to subsist and vest in / be binding on the respective parties.

I) Deregistering a client

Notwithstanding anything to the contrary stated in the mandatory client registration document, the stock broker shall be entitled to terminate the mandatory client registration document with immediate effect in any of the following circumstances:

- (i) If the action of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- (ii) If there is any commencement of a legal process against the client under any law in force;
- (iii) On the death/lunacy or other disability of the Client;
- (iv) If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partner ship;
- (v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;
- (vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- (vii) If the Client is in breach of any term, condition or covenant of this mandatory client registration document;
- (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- (ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client.
- (x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- (xi) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

J) Inactive Client account:

Client account will be considered as inactive if the client does not trade for period of Six Months. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the shares / credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive. The client has to make written request for reactivation of their account as per circular of SEBI / Exchanges.

Trading in Exchange is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I/we understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any break down in our back office/ front end system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing or not processing buy or sell Orders either in part or in full.

K) Client Acceptance of Policies and Procedures stated here in above:

These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through any one or more approved means or methods. These Policies and Procedure always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and stock broker before any court of law / judicial / adjudicating authority including arbitrator / mediator etc.

**FORM FOR REGISTRATION AND VERIFICATION OF MOBILE NUMBER AND
EMAIL ADDRESS**

To,
Trade Winds Commodities & Derivatives Pvt. Ltd.
106, Sterling Arcade, Race Course Road,
Indore - 452003 (M.P.),

Date :

Dear Sir,

I/We, _____ a Client with

Trade Winds Commodities & Derivatives Pvt. Ltd. of National Commodity & Derivative Exchange Limited (NCDEX) MEMBER CODE : 00545 and Multi Commodity Exchange of India Limited (MCX) MEMBER CODE : 16425, undertake as follows:

1. I/we are aware that Commodity Exchanges 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 Member has to provide the trade details through SMS / E-mail alerts for my convenience at my request only.
3. I/We hereby confirm that I/We wish to receive the trade alerts through:

a. SMS:

b. E-mail:

c. SMS and Email:

4. The alert should be sent on

a. Mobile Number:

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

b. Email Address: _____

I/We hereby agree to the terms and conditions specified by the exchange vide circular No. NCDEX/COMPLIANCE-007/2012/093, MCX/T&S/165/2012, and circular / clarifications issued by the Exchange from time to time in this regard. 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 :

Unique Client Code :

PAN :

Client Signature :

VOLUNTARY DOCUMENTS 

ADDITIONAL TERMS AND CONDITIONS FOR THE CONSTITUENT



Whereas the client intends to open commodities trading accounts with Trade Winds Commodities & Derivatives Pvt. Ltd (hereinafter referred as TWCDDL) for the purpose of trading in commodity Derivatives on the Multi Commodity Exchange of India Limited and the National Commodity and Derivatives Exchange limited and such other National Commodity Exchange (s) as are/ may be recognized by Government of India under Section 6 of the Forward Contracts (Regulation) Act, 1952 (FCRA) and under the relevant act , of which TWDPL may become a member and as the client may opt from time to time .

And whereas for the purpose of more fully and conveniently availing of the services agreed to be provided by TWCDDL and also the additional services that may be made available by TWCPL from time to time, the Client , on its own free will and volition , agrees to accept and be bound by the following terms and conditions.

The Client understands that these terms and conditions are voluntary i.e , non-mandatory in nature but on their acceptance , these shall constitute binding contract between the parties and shall be enforceable by either party against the other here in after called "CONSTITUENT" or "The CLIENT ").

Now, therefore, in consideration of the mutual understanding as set forth in these non mandatory clauses, the parties there to have agreed to the following addendum terms and conditions:

1. USER NAME AND PASSWORD

- 1.1 The Constituent will be entitled to a username and password, which will enable him to access the Member's IBT / CTCL System for availing of the Service.
- 1.2 The Constituent is aware that the Member's IBT / CTCL System itself generates the initial password and that the Member is aware of the same. The Constituent agrees and undertakes to immediately change his initial password upon receipt thereof. The Constituent is aware that subsequent passwords are not known or available to the Member.
- 1.3 The CONSTITUENT is aware that authentication technologies and strict security measures are required for the internet trading through order routed system and undertakes to ensure that the password of the CONSTITUENT and/or his authorized representative are not revealed to any third party.
- 1.4 The Constituent shall immediately inform the Member of any unauthorized use of the Constituent's Username or Password with full details of such unauthorized use including the date of such unauthorized use, the manner in which it was unauthorisedly used, the transactions effected pursuant to such unauthorized use, etc.
- 1.5 The Constituent acknowledges that he is fully aware of and understands the risks associated with availing of a service for routing orders over the internet including the risk of misuse and un authorized use of his Username and/or Password by a third party and the risk of a person hacking into the Constituent's account on the Member's IBT/CTCL System and unauthorisedly routing orders on behalf of the Constituent through the System. The Constituent agrees that he shall be fully liable and responsible for any and all unauthorized use and misuse of his Password and/or Username and also for any and all acts done by any person through the Member's IBT / CTCL System on the Constituent's Username in any manner whatsoever.
- 1.6 The Constituent shall log off from the IBT / CTCL Service at any time the Constituent is not accessing or using the Service and any liability incurred to the Constituent as a consequence of the Constituent not logging off the Service shall borne solely by the Constituent.
- 1.7 Without prejudice to the provisions of above Clause the Constituent shall immediately notify the Member in writing with full details if:
 - (i) He discovers or suspects unauthorized access through his Username, Password or account,
 - (ii) He notices discrepancies that might be attributable to unauthorized access,
 - (iii) He forgets his password or
 - (iv) He discovers a security flaw in the Member's IBT / CTCL System.
- 1.8 In any of the events specified above the Constituent shall immediately change his Password. However, if the Constituent

is unable to change his Password by reason of his having forgotten his Password or his Password having been unauthorisedly changed by some other person or for any other reason then the Constituent shall immediately request the Member in writing to discontinue his old Password; and thereupon the Member shall cause the Member's IBT / CTCL System to discontinue the use of the Constituent's old Password and the Member's IBT / CTCL System shall generate a new Password for the Constituent which shall be communicated to the Constituent. At no point in time shall the Member be liable for any loss, whether notional or actual, that may be suffered by the Constituent on account of the misuse of the Password.

- 1.9 The client agrees that the software under the internet trading system which are required for accessing the internet trading facility are the legal property of the Commodity Member and the client shall not attempt to modify translate disassemble, de-compile or reverse engineer the software underlined the service. The permission given by the Commodity Member shall not convey any proprietary/ownership rights in the above software.

2. TRANSACTIONS AND SETTLEMENT

- 2.1 All orders for purchase, sale or other dealings in commodities and other instructions routed through the Member's IBT / CTCL System via the Constituent's Username shall be deemed to have been given by the Constituent.
- 2.2 The orders and instructions and all contracts and transactions entered into pursuant thereto and the settlement thereof will be in accordance with the Exchange Provisions.
- 2.3 The Member may from time to time impose and vary limits on the orders that the Constituent can place through the Member's IBT / CTCL System (including exposure limits, turnover limits, limits as to the number, value and/or kind of commodities in respect of which orders can be placed, the companies in respect of whose commodities orders can be placed, etc.). The Constituent is aware and agrees that the Member may need to vary or reduce the limits or impose new limits urgently on the basis of the Member's risk perception and other factors considered relevant by the Member, and the Member may be unable to inform the Constituent of such variation, reduction or imposition in advance. The Constituent agrees that the Member shall not be responsible for such variation, reduction or imposition or the Constituent's inability to route any order through the Member's IBT / CTCL System on account of any such variation, reduction or imposition of limits. The Constituent understands and agrees that the Member may at any time, at its sole discretion and without prior notice, prohibit or restrict the Constituent's ability to place orders or trade in commodities through the Member.
- 2.4 The client is aware that Commodity Member may tape record the conversation between the client/client's representative and the Commodity Member, either directly or over the telephone, and hereby specifically permits the Commodity Member to do so. Such recording may be relied on by the Commodity Member as valid evidence as and when required.
- 2.5 The CONSTITUENT agrees that the MEMBER shall not be liable or responsible for non/delay execution of the orders of the CONSTITUENT due to any link / system failure at the CONSTITUENT / MEMBERS / EXCHANGE end.
- 2.6 The Constituent agrees that the Member may, at its sole discretion, subject any order placed by a Constituent to manual review and entry, which may cause delays in the processing of the Constituent's order or may result in rejection of such order.
- 2.7 In case of a market order, the Constituent agrees that he will receive the price at which his order is executed by the exchange's computer system; and such price may be different from the price at which the commodity is trading when his order is entered into the Member's IBT / CTCL System.
- 2.8 The Constituent hereby agrees to execute all orders at around market prices. The Constituent agrees to ensure that there will be no attempt at price distortion and price rigging made through any means.
- 2.9 The Constituent authorizes the MEMBER to square up all his outstanding positions, which are not marked for delivery 15 minutes before closing time on the normal market. Any profit/

loss arising out of square off shall be at the risk of and borne by the Constituent.

- 2.10. Closeout: Non payment of margin and other amounts: Without prejudice to the MEMBER other rights (including the right to refer a matter to arbitration), the MEMBER shall be entitled to liquidate/close out all or any of the constituents position for non payments of margin or other amounts outstanding debts, etc. adjust the proceeds of such liquidation/ close out, if any, against the constituent liabilities/obligation. Any and all losses and financials charges on a/c of such liquidations / closing out shall be charged to and borne by the constituent.
- 2.11. In the event of 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, MEMBER may close out the transaction of the constituent and the constituent or his legal representative shall be liable for any losses, costs and be entitled to any surplus which may result there from.
- 2.12 The Client here by unconditionally, absolutely, and irrevocably undertakes to pay immediately any amount due and payable under this agreement on being called upon to do so, merely on a demanding writing or otherwise from the Commodity Member Stating that the amount has become due and any such demand made on the client shall be conclusive as regards the amount due and payable by the client. The Client also here by agree to setup his/her brokerage slab in contracts and bills by member and also agree to no claim of his/her brokerage difference in condition of reduce / change of brokerage slab by member in future from time to time.
- 2.13 Constituent hereby authorize Trade Winds Commodities & Derivatives Pvt. Ltd. trading member NCDEX and MCX to accept all order placed by me/us, modification of the placed order, cancellation, if any, by way of telephone, oral instructions. I/we do not require the trading member to obtain from me/us order placement, modification, cancellation details in writing I/we also do not require the trading member to provide order confirmation, modification, cancellation slip or copy thereof in writing.
- 2.14 Constituent as a constituent do not require from trading member, instruction / information in writing regarding deliveries and payment requirement for pay-in and payout of funds deliveries. The trading member to me/us can give such instruction orally or through telephone.
- 2.15 SHORTAGE : In case of purchase of Commodity by the client, at times the Commodity Member may be unable to deliver the Commodity to said purchase on the pay out day due to non receipt of Commodity from the Commodity Exchange's or in case of non receipt of the said Commodity from another client of the Commodity Member who has sold the Commodity against the said purchase transaction. In cases of short delivery from the exchange and in cases of short delivery due to non receipt of the said Commodity from another Client of the Commodity Member, the Commodity shall be delivered to the purchaser as per the policy of the Commodity Member or may be closed out at the rate as worked out or rate as amended from time to time.
- 2.16 Restriction On / Regulation on Dealings : The parties here to shall mutually decide, from time to time, the volume of business which the client may transact during any trading day on any Exchange. Not with standing such an agreement/agreement between the parties, the Commodity Member shall have absolute discretion to reduce the volume of business of the client or restrict.
- i) The volatility in the market
 - ii) In view of impending price sensitive announcements;
 - iii) Any restriction in relation to volume of trading /outstanding business or margins stipulated by any exchange;
 - iv) Political instability in the country;
 - v) Presence of any other price sensitive factors;
 - vi) Failure by the client to maintain the applicable collateral/margin; and/or delays by the client in meeting its obligations/dues relating to the business/dealings done under this agreement between the client and Commodity Member, including but not limited to the general terms and conditions.

2.17. The Commodity Member agrees to inform the client & keep him updated about trading / settlement cycles, delivery/payment schedules, any change there in from time to time, and it shall be the responsibility in turn of the client to comply with such schedule procedures of the relevant Commodity exchange.

2.18. The client shall at all times, be responsible for the trade decisions and/or order placed or applications preferred by the Client either electronically or to otherwise. The client shall neither hold nor seek to hold the Commodity Member or any of its Directors, officers, employees, agents or affiliates, liable for any loss including but not limited to the trading losses incurred by the client. The client understands that the placing of the order with the Commodity Member electronically or otherwise does not guarantee execution of the said order or the acceptance of the application. Though orders will generally be routed to the exchange computer systems within a few seconds from the time the order is placed by the client to Commodity Member trading system, the Commodity Member shall not be liable for any delay in the execution of any order or any resultant loss, on account of that delay. The Commodity Member shall not be deemed to have received any order electronically or application unless it has confirmed the same.

3. CANCELLATION

3.1 When the Constituent places a request to cancel an order, the cancellation of that order is not guaranteed. The order will only be cancelled if the Constituent's request for cancellation is received and the order is successfully cancelled before it is executed.

3.2 The Constituent shall not be entitled to presume an order as having been executed or cancelled until a confirmation from the Member is received by the Constituent.

3.3 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.

4. REPRESENTATIONS AND WARRANTIES OF CONSTITUENT

The Constituent represents and warrants to the Member that:

4.1 The Constituent is aware and acknowledges that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. which are susceptible to interruptions and dislocations; and the Member's IBT / CTCL Service may at any time be unavailable without further notice. The Member and the Exchange do not make any representation or warranty that the Member's IBT / CTCL Service will be available to the Constituent at all times without any interruption. The Constituent agrees that he shall not have any claim against the Exchange or the Member on account of any suspension, interruption, non-availability or malfunctioning of the Member's IBT / CTCL System or Service or the Exchange's service or systems for any reason whatsoever.

4.2 All actions required to be taken to ensure compliance of all the transactions, which the Constituent may enter into pursuant to this Agreement with all applicable laws, shall be completed by the Constituent prior to such transaction being entered into.

4.3 The Constituent shall abide by the Exchange Provisions and the terms of the Member's IBT / CTCL in force from time to time.

4.4 The instructions issued by an authorized representative of the constituent shall be binding on the constituent in accordance with the letter authorizing the said representative to deal on behalf of the constituent.

5. MARKET DATA

5.1 The Constituent understands that the Exchange asserts a proprietary interest in all of the market data it furnishes, directly or through the Member or otherwise. The Constituent understands that the Exchange does not guarantee the timeliness, sequence, accuracy or completeness of market data or any other market information, or any messages disseminated by it. Neither the Member nor the Exchange shall be liable in any way for incorrect, misleading, incomplete or dated data or information and, if the Constituent acts on the basis of the same, he shall do so at his own risk and cost.

- 5.2 The Constituent shall not furnish market information provided by the Member / Exchange to any other person or entity for consideration or otherwise and in the event the Constituent uses such information he shall do so at his own risk and cost.
- 5.3 The client acknowledges that the Commodity Member shall not be under any obligation to provide the Client with any tax, legal, accounting Investment advice regarding the suitability or profitability of investment of any kind, not authorized to give out any himself are not authorizes to give out any advise and the client shall at all times be responsible and liable for his own action/inaction. The client may be able to access investment research report through the internet from the website, including computerized on line service or physical copy. The availability of such information does not constitute a recommendation to buy or sell any of the investment products. Any investment decision will be based solely on the client own evaluation of financial circumstances and investment objective. Any real time quotes provided are only for the clients own use and the client shall not furnish such data to any other person or entity.
- 5.4 The client is authorized to use material which are made available by the Commodity Member, or of other third parties at the Commodity Member website for client own needs only in accordance with terms and condition specified for such usage, client is not authorized to resell access to any such material or to make copies of any such material for sale or use by other. Client will not delete copyright or other intellectual property rights notice from print out of electronically accessed material.
- 6. EXTRAORDINARY EVENTS**
The Member and/or its agents will not be liable for losses caused directly or indirectly by government restriction, Exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, strikes or any other conditions beyond the Member's control.
- 7. AMENDMENT TO AGREEMENT**
The Constituent understands and agrees that the Member may discontinue his IBT/CTCL or whole Service in part and change the terms of the Service at any time and from time to time, without prior notice.
This agreement can be altered, amended and /or modified by the parties mutually in witting without derogating from the contents of this agreement. Provided however, if the rights and obligation of the parties here to are altered by the virtue of changes in rules & regulation of Bye Laws, rules & regulation of the relevant Commodities broker, such changes shall be deemed to have been incorporated here in modification of the rights and obligation of the parties mentioned in this agreement.
- 8. SEVERABILITY**
In the event of any provisions of this Agreement being held to be or becoming invalid, unenforceable or illegal for any reason, this Agreement shall remain otherwise in full force apart from the said provision which will be deemed deleted. The parties shall however attempt to replace the deleted provision with a legally valid provision that reflects the same purpose as the deleted provision to the greatest extent possible.
- 9. WAIVER**
No forbearance, relaxation or inaction by any party at any time to require the performance of any provision of this Agreement shall in any way affect, diminish, or prejudice the right of such party to require the performance of that or any other provision of this Agreement or be considered to be a waiver of any right, unless specifically agreed in writing.
- 10. DISPUTE RESOLUTION**
The Member and the Constituent 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 the said provisions.
- 11. LAW AND JURISDICTION**
11.1 All trades, transactions and contracts are subject to the Bye-Laws, 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.
- 11.2 The provisions of this agreement shall always be subject to Government notifications, any rules, regulations and guidelines issued by EXCHANGE rules, regulations and Bye-laws that may be in force from time to time.
- 11.3 The Client affirms and shall continue to affirm every time an order is placed through the Commodity Member or an application preferred, as the information provided in and / or the statements made in the 'CLIENT REGISTRATION FORM' are true and misleading. The client agrees to immediately notify the Commodity Member in writing if there is any change in the information in the 'CLIENT REGISTRATION FORM' Provided by the client to the Commodity Member at the time of opening of the account or at any time thereafter.
- 11.4 The Commodity Member declares that it has brought the contents of the RISK DISCLOSURE DOCUMENT to the notice of the client and made him aware of the significance of the said document. The client agrees that
- He has read and understood the risks involved in trading on a Commodity Exchange.
 - He shall be wholly responsible for all his investment decision and trades.
 - The failure of the client to understand the risk involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the client chooses to trade.
 - He is liable to pay applicable initial margins, special margins or such other margins as are considered necessary by the Commodity Member or the Exchange or as may be directed by the regulator from time to time to the segment(s) in which the client trades. The Commodity Member is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House / Clearing Corporation or) and the client shall be obliged to pay such margins within the stipulated time.
Payment of margins in the forms of cash, Fixed Deposit, Commodity or any other form which shall be mutually accepted by both. The client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contracts may dictate/require.
- 12. AUTHORIZATION FOR DEBIT :**
Without prejudice to any other clause of this agreement and/or the general terms and conditions, the client understands and agrees that the Commodity Member may charge additional financial charges according to the rules, Bye laws and regulations of the relevant exchange and usual custom of the market for any extra services rendered by the Commodity Broker and as required by the client, or for such extra/reasonable costs, including legal fees, incurred by the Commodity Member for collecting the dues payable by the client to Commodity Member, an exchange, clearing corporation/clearing house, any agent or sub-broker of the Commodity of the Commodity Member and or any other individual, partnership, corporation, company, organization, trust or other entity acting for or on behalf of the Commodity Member.
- 13. LIEN :**
All the Commodity and / or properties placed with the Commodity Member shall be subject to a lien for the discharge of any and all indebted or any other obligation that the client have to Commodity Member All of the client Commodity and / or other property shall be held by the Commodity Member as security for payment any such obligation or Indebtedness to Commodity Member. In enforcing its lien, Commodity Member at its sole discretion may determine which Commodity and / or other properties are to be sold or which contracts are to be enforced.
- 14. IN CASE OF DEFAULTER:**
1. The client agrees to immediately furnish information to the Commodity Member in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.

2. Information about default in payment / delivery and related aspects of the client shall be brought to the notice of the relevant Commodity exchange. In case where defaulting client is a corporate entity / partnership / proprietorship firm or any other artificial legal entity, then the names of the director / promotor / partnership / proprietorship as the case may also be communicated to the relevant Commodity exchange.
3. **Provisions in the event of a default :** Without prejudice to the Commodity Member's other rights (including the right to refer a matter to arbitration), the Commodity Member shall be entitled to liquidation /close out all or any of the client's position as well as Commodity placed margin for non payment of margins or other amount outstanding debts, etc. and adjust and proceed of such liquidation / close out, if any against the client liabilities / obligation. Any and all losses and financial charges on account of such liquidation / closing out shall be charged to and borne by the client. Such liquidation / close out, will be without any prior reference or notice to the client. The Commodity Member is hereby fully indemnified and held harmless by the client in the behalf such liquidation or close out of position shall apply to any segment in which the client does business with the Commodity Member.

15. NOTICES :

All notices or communications issued under this agreement shall be served in anyone or more or all of the following ways and such notice or communication under (i) to (xii) below shall be served at the ordinary business address and ordinary place of residence and / or ordinary place of residence and / or last known address of the client in any one or more of the following ways:

(i) by post (ii) by registration post, (iii) under certificate of posting (iv) by expressing delivery post, (v) by telegram, by affixing it on the door at last known business or residential address, (vii) by oral communication in to the party on the last telephone number or on the recording machine of such number (viii) by advertising it in atleast one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated (ix) by sending message through trading system (x) by a notice posted on the notice board of the exchange if no address be known, (xi) by electronic mail or fax (xii) By hand delivery.

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

The Client's Signature / Authorised Signatory:

Signed by :  _____

Title :

Name of the client:

Witness Signature (W1) _____

Witness Name and Address : -

APPENDIX - A
ELECTRONIC CONTRACT NOTE [ECN] - DECLARATION (VOLUNTARY)

To,

Trade Winds Commodities & Derivatives Pvt. Ltd.

106, Sterling Arcade, Race Course Road,

Indore - 452003 (M.P.),

Dear Sir,

I, _____ (name of client) a client with Member M/s. Trade Winds Commodities & Derivatives Pvt. Ltd. of National Commodity & Derivative Exchange Limited (NCDEX) and Multi Commodity Exchange of India Limited (MCX) Exchange 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 English and any other Indian language known to me.

[The above declaration has 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 above lines must be reproduced in own handwriting of the client.)

Client Name: _____

Unique Client Code _____

PAN: _____

Address: _____

Signature of the Client _____

Client Name _____

Date : _____ Place : _____

Verification of the client signature done by,

Name of the designated officer of the Member : _____

Signature : _____ Date: _____ Place : _____

INSTRUCTIONS:

- This declaration form has to be sent by the Member to the client on the email id provided by client while opening the trading account.
- The client shall, on receipt of this email, print the email as well as the declaration form.
- The hard copy of the declaration shall be filled up by the client and submitted to the Member along with a signed hard copy of the email. The Member shall acknowledge the receipt of the declaration from the client.
- The size of the font of this declaration must be at least 12.

To,

Date : _____

Trade Winds Commodities & Derivatives Pvt. Ltd.
106, Sterling Arcade, Race Course Road,
Indore - 452003 (M.P.)

Dear Sir,

Subject : My/Our request for trading in Commodity Forward Contracts / Commodity Derivatives on NCDEX / MCX as your client.

I/We, the undersigned, have taken cognizance of circular No. NCDEX/TRADING-114/2006/247 dated September 28, 2006 and NCDEX / Trading / 003/2012/010 dated Janauray 2012, issued by the National Commodity & Derivatives Exchange Limited (NCDEX) and Circullar No. MCX/338/2006 dated August 21, 2006 and MCX/T&S/014/2012 dated Janaurary 12, 2012 issued by Multi Commodity Exchange of India Limited (MCX) on the guidelines for calculation of net open positions permitted in any commodity and I/We hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by NCDEX / MCX or SEBI and such position limits will be calculated in accordance with the circulars on positions limits as modified from time to time.

I/We undertake to inform you and keep you informed if I/any or our Partners/ Directors / Karta / Trustee or any of Partnership Firms / Companies / HUFs / Trusts in which I or any of above such person is a Partner / Director /Karta / Trustee, takes or holds any position in any commodity forward contract / commodity derivative on NCDEX / MCX through you or through any other member(s) of NCDEX / MCX, to enable you to restrict our position limit as prescribed by the circulars 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.
I/We further undertakes to bear any liable / penalty / charges levied by exchange / SEBI.

Yours faithfully,

For _____

⊗

Sole Proprietor / Partner / Director / Karta / Trustee*

*Strike off which is not applicable

To,

Trade Winds Commodities & Derivatives Pvt. Ltd.

106, Sterling Arcade, Race Course Road,
Indore - 452003 (M.P.)

Subject: Maintenance of Running Account

Dear Sir / Madam

For the purpose of my / our comfort and operational convenience. I /We authorize you to maintain a running account instead of settlement to settlement payout of funds or delivery of commodities to me / us. All funds and commodities kept to my / our credit by you, may be treated as upfront margins and / or security or interest free deposit for allowing exposure to me / us. Under this arrangement made at my / our specific request. I /We shall not claim any interest on the funds and commodities kept in running account with you.

I/We request you to maintain running balance In my account & retain the credit balance in any of my/our account and to use the unused funds towards my /our margin/pay-in/other future obligation(s) at any segment(s) of any or all the commodity Exchange(s)/ Clearing corporation.

I/We hereby authorize you to keep the payout/ margin money deposited by me/us with you in my /our account for meeting all my/ our future obligations and for providing limits for trading purpose on the basis of this deposit. This funds can be released to me/us as and when requested by me / us in writing subject to availability of free and unutilized balance after taking into consideration all open positions and dues relating to my/ our open positions.

I/ We also authorize you to keep my /our commodities received in the payout in your pool or beneficiary account with a DP in case of default / delay on my /our part to pay the dues in time or as security margin for availing limit for trading purpose and further authorize you to utilize the same to meet my/our existing and future pay-in obligations with you.

I/We also request you to settle my / our fund/ commodities account on a half yearly basis except the amount of Rs. 50000/- as allowed by FMC/SEBI/Exchange circular.

This Running Account Authorisation shall be continued until I/we revoke it by in writing,

Yours faithfully,

Client Name: _____

⊗

(Signature)

Client Code: _____

(In case of Non - Individual attest with the Company Seal)

VERBAL ORDER ACCEPTANCE AUTHORISATION

To,
Trade Winds Commodities & Derivatives Pvt. Ltd.
 106, Sterling Arcade, Race Course Road,
 Indore - 452003 (M.P.)

I/We have been/shall be dealing through you as my/our broker on different commodity exchanges. 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.

I/We agree and acknowledge that it is advised by you that I/We should give instructions for order Placement/modification and cancellation in writing and to avoid disputes. I/We must give instructions in exactly the format given below in duplicate (carbon copy/Photocopy only) and take signatures of at least two authorized officers at the branch along with company stamp on the carbon/ photocopy of the instructions in acknowledgment of receipt of my our instructions.

However as I/We shall be dealing by ordering over phone and even if we visit the branch. The fluctuations in market are so rapid that it is not practical to give written instructions for order placement/ modification and cancellation; I/We hereby authorize you to accept my/my authorized representative's verbal instructions for order placement/ modification and cancellation in person or over phone (fixed time or mobile 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 and consequent trades (if any) by shifting the burden of proof by asking you to prove the placement of orders through telephone recording or otherwise.

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/ our directions given above.

Thanking you
 Yours faithfully.

Signature : _____
 Name : (_____)

Signature : _____
 Name : (_____)

Annexure (1) HUF Declaration Consent Letter (NOC)

To, _____ Date : _____

Trade Winds Commodities & Derivatives Pvt. Ltd.
 106, Sterling Arcade, Race Course Road, Indore - 452003 (M.P.)

With regard to Trading Account _____ maintained in the name & style" _____ " with Trading Trade Winds Commodities & Derivatives Pvt. Ltd.

We the following family members, being the co-partners in the HUF account.

M/s _____ do hereby give our consent that the said Karta, viz _____ would operate above mentioned Trading account as far as Commodity transactions of the HUF account is concerned.

Details of our HUF and all its co-partners are stated as mentioned below:

Sr. No	Name of Family Member	Date of Birth (DD MM YYYY)	Gender (M / F)	Relationship with Karta	Signature

I, hereby state that details mentioned above are true and any change in them would be intimated to you in writing.

Title of HUF/ Karta _____

Signature
 (HUF Rubberstamp)

APPLICATION FOR ONLINE ORDER PUNCHING FACILITY THROUGH DIET ODIN SOFTWARE

From, Date : _____

Client Code : _____

Client Name : _____

Client Address : _____

To,

Trade Winds Commodities & Derivatives Pvt. Ltd.

106, Sterling Arcade, Race Course Road,

Indore - 452003 (M.P.)

Dear Sir / Madam ,

Subject : DIET ODIN Software with Punching Order Facility.

I have a commodity trading account no. _____ registered with

your _____ branch. For the purpose of my comfort and operational

convenience, I would like to avail DIET ODIN software with punching order facility for both exchange i.e. NCDEX & MCX. I will accept all trades executed, resulting from the order placed from my terminal. I hereby confirm that I am well aware with Internet Trading facility & I am well aware of all risk involved in Internet Trading facility.

Yours sincerely,

Signature : _____

Name of Client : _____

Client Code : _____

KYC FORM RECEIPT

To,

Trade Winds Commodities & Derivatives Pvt. Ltd.

106, Sterling Arcade, Race Course Road,

Indore - 452003 (M.P.)

Subject : Acknowledgment of Receipt of a Copy of KYC / RDD / ROD / DO'S AND DONT'S

Dear Sir,

This is to acknowledge that I / We _____ with trading code _____ have received a copy of the duly complete all documents viz. Client registration Form (KYC), Risk Disclosure Documents (RDD), 'Rights and Obligations' document(s), and 'Do 's and Dont's', copy of other document executed by me / us as a Client.

I / We hereby confirm & declare that I / We are aware of all the "policies and Procedures, RDD, ROD and Guidance Note and have the full intimation of trading code and email id for the purpose of receiving electronic contract note and other.

Thanking you

Clients Signature _____

Client Name _____

**CHECKLIST OF DOCUMENTS NECESSARY FOR OPENING THE ACCOUNT
FOR
NON -INDIVIDUAL / CORPORATE / FIRM / OTHERS**

1.	One passport size photograph of each Authorized Signatory/Partners/Proprietor/Whole time Directors, Individual Promoters holding 5% or more, either directly or on directly, in the shareholding of the company (three photographs required if depository account is being opened).	
3.	A list of all the authorized signatories along with their specimen signatures and photographs.	
4.	PAN card of Applicant Entity/Partners/Promoters/Directors/Proprietor.	
5.	Address proof of the applicant Entity (Please check that address and other details are clear & proof has not crossed its expiry/validity date, if any).	
6.	Bank Proof.	
7.	Identity Proof of each Partners/Directors/Promoters/Proprietor (please check that photograph and other details are clear & proof has not crossed its expiry/validity date, if any).	
8.	Address Proof of Partners/Directors/Promoters/Proprietor (please check that address and other details are clear & proof has not its expiry / validity date, if any).	
9.	Copy of Balance Sheet for the last three financial years.	
10.	Certified true copy of MOA and AOA in case of body corporate.	
11.	Copy of Partnership deed in case of Partnership Firm.	
12.	Copy of Trust deed in case of a Trust.	
13.	Board Of Resolution on Letter head of the company approving the participation in commodities trading (As Per the format).	
14.	Authorization from Partners(s) to deal in commodity market.	
15.	Board Resolution on letter head of the company for opening a Depository Account (as per the format).	
16.	Photocopy of holding/transaction statement or client master of depository account in case it is not with TRADEWINDS COMMODITIES AND DERIVATVD PVT. LTD.	
17.	Bank Certification or introduction by an existing account holder as per the format (required for the depository account).	
18.	Duly filled Annexure E(1) as per the format for each Promoters/Partners/ Directors and salary certificate.	
19.	The TRADEWINDS official should verify the photocopies of proofs with original and should affix verified against original stamp (in case of PAN proof PAN verified stamp) on all the photocopies of proofs with his/her signature and employee code.	
20.	Witnesses are done whenever required.	
21.	Please check that all mandatory fields are filled up.	
22.	Please note that signatures have been numbered for your convenience. Please check that signatures of all holders (if any), are done at designated places.	

Panching Date