

Client Registration Form

Application No.

INDIVIDUAL / HUF / CORPORATE / PARTNERSHIP FIRM



ISHAAN METALS PVT. LTD.

MEMBER : MCX

Client Name :

Client Code :



ISHAAN METALS PVT. LTD.

CIN : U74999DL2003PTC122642

MEMBER

Multi Commodity Exchange of India Ltd. (MCX) (Membership No.: 16390)

SEBI Regn. No.: INZ000036931

Regd. Office :

39-A, Double Storey, Main Road, Malkaganj, Delhi-110007 (INDIA)

Phone : 011-47890000 • Telefax : 91-11-23856053

E-mail : info@ishaanmetals.com

Director's Detail

Mr. Anshul Gupta

Ph.: 011-47890024

Email : info@ishaanmetals.com

Mr. Siddharth Aggarwal

Ph.: 011-47890017

Email : info@ishaanmetals.com

Compliance Officer

Mr. Anshul Gupta

Ph.: 011-47890024

Email : info@ishaanmetals.com

For any grievance/dispute please contact **ISHAAN METALS PVT. LTD.** at the above address or email id- info@ishaanmetals.com and Phone No. +91-11-47890000. In case not satisfied with the response, please contact the concerned exchange(s) at (MCX) grievance@mcxindia.com and Phone No. +91-22-67318888

ACKNOWLEDGEMENT TO ISHAAN METALS PVT. LTD. FROM CLIENT

To,

ISHAAN METALS PVT. LTD.

Date: _____

Member : MCX

Regd. Office : 39-A, Double Storey, Main Road, Malkaganj, Delhi-110007 (India)

I/We intends to open a Commodity Trading account with M/s. Ishaan Metals Pvt. Ltd. who is Member of MCX undertakes as follows:

1. I/We have been duly aware by Member that client has a preference to receive the below referred documents either in electronic form or in physical form:
 - A. Right and Obligations of Member, Authorized Person and Clients.
 - B. Internet and Wireless technology based trading facility provided by Member to Clients.
 - C. Risk and Disclosure document for commodity market.
 - D. Guidance Note-Do's and Don'ts for trading on the Exchange(s) for Investors
 - E. Policies & Procedures
2. I/We am/are further aware by my/our Member that for receiving the above said documents in Electronic or Physical Form, I/We have to accord my/our consent.
3. Therefore, in reference to the above, I/We hereby voluntarily accord my/our consent to receive the aforesaid documents in:-
☐ Electronic Form ☐ Physical Form
4. If I/We opted for the same in Electronic mode, then Member can sent said aforesaid documents at my registered email id.
5. I/We have been further aware by my/our Member that the aforesaid documents has also been available at the Member's website i.e. at www.ishaanmetals.com
6. I/We am/are aware that the non receipt of bounced mail notification by the Member shall amount to delivery of the aforesaid documents at my registered email id.
7. I/We hereby accord my/our consent to an arbitration agreement by virtue of which I/We shall refer all my/our claims, differences or disputes between us which might have arise out of my/our trading, deposits, margin money, etc. in relation to my/our dealings in contracts and transactions which have been made subject to the Bye-Laws, Rules and Regulations of the Exchange or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions and contracts have entered into, to the arbitration in accordance with the provisions of these Byelaws, Rules and Regulations of the Exchanges.

1 

Client Name: _____

----- (Tear Here) -----

RECEIPT OF PHYSICAL KIT

To,

ISHAAN METALS PVT. LTD.

Date: _____

Member : MCX

Regd. Office : 39-A, Double Storey, Main Road, Malkaganj, Delhi-110007 (India)

I/We hereby confirm that I/We have received a copy of following documents:

- A. Right and Obligations of Member, Authorized Person and Clients.
- B. Internet and Wireless technology based trading facility provided by Member to Clients.
- C. Risk and Disclosure document for commodity market.
- D. Guidance Note-Do's and Don'ts for trading on the Exchange(s) for Investors
- E. Policies & Procedures
- F. Other disclosure/ documents as agreed by me/us specifically in voluntary segment.

2 

Client Name: _____

----- (Tear Here) -----

INDEX OF DOCUMENTS

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	KYC / Account Opening Form	KYC Form - Document captures the basic information about the constituent and an instruction/check list.	1-14
2.	Uniform Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the commodities market.	Given to the Client with Welcome Kit
3.	Rights and Obligations of Members, Authorized Persons and Clients.	Document stating the Rights & Obligations of member, Authorized Person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	
4.	Guidance Note-Do's and Don'ts for the clients	Guidance Note for dealing in commodities market.	
5.	Policies and Procedures	Policies and Procedures	
6.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charged levied on the client for trading on the Commodity Exchange(s).	15
7.	Disclosure Information	Pro-Account Disclosure Information	15

VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Appendix - A Electronic Contact Note (ECN)	Document to authorize to send all contract note/bills, statement of account/ ledger in digital/electronic form on designated email id by client.	16
2.	Running Account Authorisation	Running Account Authorisation	17
3.	Letter of Authority	To enable the trading member to act upon the clauses mentioned in the letter of authority	18
4.	Letter of Authority to creation of FDR and ABC	Letter of Authority to creation of FDR and ABC	19
5.	Format of Undertaking for Reactivation of Client Trading Account	Format of Undertaking for Reactivation of Client Trading Account	19
6.	Undertaking for Activation of Options Segment in Commodities Trading Account	Undertaking for Activation of Options Segment in Commodities Trading Account.	20
7.	Authorisation for Trade Confirmation	Authorisation for Trade Confirmation	20
8.	Adjustment of Balance in Family Account	Letter for adjustment of balance lying with group companies of the stock broker	21
9.	Declaration by User	Declaration	21
10.	Client Defaulter Declaration	Declaration for being not involved in any Terrorist activity and not declared as Defaulter by SEBI/Exchanges/etc.	21
11.	Declaration for Name Mismatch	For authorizing the payout as per enclosed Bank proof.	22
12.	Mobile Declaration	Declaration and permission to send information/alerts/SMS/call on the mobile no.	22
13.	PMLA Declaration	PMLA Declaration	22
14.	FATCA & CRS Declaration	FATCA & CRS Declaration for Individual & Non-Individual	23-25
15.	Most Important Terms & Conditions	Most Important Terms and Conditions (MITC)	26
16.	Declaration by HUF	To be given by the Karta and coparceners of the HUF	27
17.	Format of Bank for Verification	Letter from bank for Client bank account verification	27
18.	Format of Declaration to be given by Partnership Firm	To be given by the Partners of the firm for opening of account	28
19.	Format of Board Resolution to be given by Corporate Client	Format of Board Resolution to be provided by Corporate entities on their letter head for opening of account	28

MANDATORY DOCUMENTS

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

Important Instructions:

- A) Fields marked with '*' are mandatory fields.
 B) Tick (✓) wherever applicable.
 C) Please fill the form in English and in BLOCK letters.
 D) Please fill the date in DD-MM-YYYY format.
 E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.
 F) Please read section wise detailed guidelines / instructions at the end.
 G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 H) List of two character ISO 3166 country codes is available at the end.
 I) KYC number of applicant is mandatory for update application.
 J) The 'OTP based E-KYC' check box is to be checked to accounts opened using OTP based E-KYC in non-face to face mode.



For office use only

(To be filled by financial institution)

Application Type*

☐ New

☐ Update

KYC Number

(Mandatory for KYC update request)

Account Type*

☐ Normal

☐ Minor

☐ Aadhaar OTP based E-KYC (in non-face to face mode)

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

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				
Date of Birth*				
Gender*	☐ M- Male	☐ F- Female	☐ T-Transgender	
Marital Status*	☐ Married	☐ Unmarried	☐ Others	
PAN*		☐ Form 60 furnished		
Citizenship*	☐ IN- Indian	☐ Others (ISO 3166 Country Code)		
Residential Status*	☐ Resident Individual	☐ Non Resident Indian		
	☐ Foreign National	☐ Person of Indian Origin		

☐ 2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National Population Register Letter
☐ F- Proof of possession of Aadhaar

II. ☐ E- KYC Authentication

III. ☐ Offline verification of Aadhaar

☐ PHOTO*



Signature / Thumb Impression

Address

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

☐ 3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

☐ Same as above mentioned address (in such cases address details as below need not to be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National Population Register Letter
☐ F- Proof of possession of Aadhaar

II. ☐ E- KYC Authentication

III. ☐ Offline verification of Aadhaar

IV. ☐ Deemed Proof of Address - Document type Code

Address

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

[illegible]

Signature / Thumb Impression of Applicant

[Institution Stamp]

ANNEXURE 1 (PART - I)

KNOW YOUR CLIENT (KYC) Application Form - For Individuals

☐ NEW ☐ CHANGE REQUEST (Please tick ✓ the appropriate)

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

(Please tick ✓ the box on left margin of appropriate row where **CHANGE/CORRECTION** is required and provide the details in the corresponding row)

Acknowledgement No.

A IDENTITY DETAILS

- ☐ 1. Name of the Applicant _____
- ☐ 2. Father's / Spouse Name _____
- ☐ 3a. Gender ☐ Male ☐ Female 3b. Marital status ☐ Single ☐ Married 3c. Date of Birth
- ☐ 4a. Nationality ☐ Indian ☐ Other (Please specify) _____
- ☐ 4b. Status ☐ Resident Individual ☐ Non Resident ☐ Foreign National
- ☐ 5a. Permanent Account Number (PAN)
- ☐ 5b. Unique Identification Number (UID) / Aadhaar, if any: _____
- ☐ 6. Specify Proof of Identity submitted ☐ PAN card ☐ Other (Please specify) _____

PHOTOGRAPH

Please affix
your recent passport
size photograph and
sign across it

B ADDRESS DETAILS

- ☐ 1. Residence / Correspondence Address _____
City / Town / Village _____ Pin Code _____
State _____ Country _____
- ☐ 2. Specify the Proof of Address submitted for Residence / Correspondence Address: _____
- ☐ 3. Contact Details
Tel. (Off.) _____ Fax _____
Tel. (Res.) _____ Mobile No _____
E-Mail Id. _____
- ☐ 4. Permanent Address (If different from above or overseas address, mandatory for Non-Resident Applicant)

City / Town / Village _____ Pin Code _____
State _____ Country _____
- ☐ 5. Specify the Proof of Address submitted for Permanent Address: _____

C 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.

Date



Signature of the Applicant

FOR OFFICE USE ONLY

In Person Verification (IPV) Details:

Name of the person who has done the IPV: _____

Designation: _____ Employee ID: _____

Name of the Organization: **Ishaan Metals Pvt. Ltd.**

Date of IPV: Signature of the person who has done the IPV _____

Seal/Stamp of the Intermediary

☐ Originals Verified & Self Attested Document copies received

Date Place : _____

Signature of the Authorised Signatory

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

- Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale

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

Types of entity	Documentary Requirements
Corporate	- Copy of the balance sheets for the last 2 financial years (to be submitted every year). - Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). - Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. - Photograph, POI, POA, PAN of individual promoters holding control-either directly or indirectly. - Copies of the Memorandum and Articles of Association and certificate of incorporation. - Copy of the Board Resolution for investment in securities market. - Authorised signatories list with specimen signatures.
Partnership Firm	- Copy of the balance sheets for the last 2 financial years (to be submitted every year). - Certificate of registration (for registered partnership firms only). - Copy of partnership deed. - Authorised signatories list with specimen signatures. - Photograph, POI, POA, PAN of Partners.
Trust	- Copy of the balance sheets for the last 2 financial years (to be submitted every year). - Certificate of registration (for registered trust only). Copy of Trust deed. - List of trustees certified by managing trustees/CA. - Photograph, POI, POA, PAN of Trustees.
HUF	- PAN of HUF. - Deed of declaration of HUF/ List of coparceners. - Bank pass-book/bank statement in the name of HUF. - Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	- Proof of Existence/Constitution document. - Resolution of the managing body & Power of Attorney granted to transact business on its behalf. - Authorized signatories list with specimen signatures.
Banks/Institutional Investors	- Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. - Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	- Copy of SEBI registration certificate. - Authorized signatories list with specimen signatures.
Army/Government Bodies	- Self-certification on letterhead. - Authorized signatories list with specimen signatures.
Registered Society	- Copy of Registration Certificate under Societies Registration Act. - List of Managing Committee members. - Committee resolution for persons authorised to act as authorised signatories with specimen signatures. - True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

Important Instructions:

- A) Fields marked with "*" are mandatory fields.
 B) Tick '✓' wherever applicable.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please fill the form in English and in BLOCK letters.
 E) KYC number of applicant is mandatory for update application.
- F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 G) List of two character ISO 3166 country codes is available at the end.
 H) Please read section wise detailed guidelines / instructions at the end.
 I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

**For office use only**

(To be filled by financial institution)

Application Type*

☐ New☐ Update

KYC Number

(Mandatory for KYC update request)

☐ **1. ENTITY DETAILS*** (Please refer instruction A at the end)☐ Name*

Entity Constitution Type*

☐

Others (Specify)

(Please refer instruction B at the end)

Date of Incorporation / Formation*

Date of Commencement of Business

Place of Incorporation / Formation*

Country of Incorporation / Formation*

TIN or Equivalent Issuing Country

PAN*

☐

Form 60 furnished

TIN / GST Registration Number

☐ **2. PROOF OF IDENTITY (PoI)*** (Please refer instruction B at the end)☐ Officially void document(s) in respect of person authorised to transact☐ Certificate of Incorporation / Formation

☐ Registration Certificate

Regn. Certificate No.

☐ Memorandum and Articles of Association☐ Partnership Deed☐ Trust Deed☐ Resolution of Board / Managing Committee☐ Power or attorney granted to its manager, officers or employees to transact on its behalf☐ Activity Proof - 1 (For Sole Proprietorship Only)☐ Activity Proof - 2 (For Sole Proprietorship Only)☐ **3. ADDRESS*** (Please refer instruction C at the end)

3.2 Local Address in India (If different from Above)*

Proof of Address*

☐ Certificate of Incorporation / Formation☐ Registration Certificate☐ Other Document

Line 1*

Line 2

Line 3

District

Pin / Post Code*

State / U.T. Code*

ISO 3166 Country Code*

3.1 Registered Office Address / Place of Business*

Line 1*

Line 2

Line 3

District

Pin / Post Code*

State / U.T. Code*

ISO 3166 Country Code*

☐ **4. CONTACT DETAILS** (All communication will be sent to Mobile number / E-mail ID provided may be used) (Please refer instruction D at the end)

Tel. (Off)

FAX

Mobile

Email ID

Mobile

Email ID

☐ **5. NUMBER OF RELATED PERSONS**

(Please refer instruction E at the end)

[illegible][illegible]

Signature / Thumb Impression of Authorised Person(s)

Date : DD - MM - YYYY Place :

Documents Received		☐ Certified Copy		☐ Equivalent e-document				
KYC VERIFICATION CARRIED OUT BY				INSTITUTION DETAILS				
Identity Verification	☐ Done	Date	D D — M M — Y Y Y Y	Name	ISHAAN METALS PVT. LTD.			
Emp. Name				Code				
Emp. Code				[Institution Stamp]				
Emp. Designation								
Emp. Branch								
[Employee Signature]								

INSTITUTION DETAILS

Name **ISHAAN METALS PVT. LTD.**

Code

ANNEXURE 1 (PART - I)

KNOW YOUR CLIENT (KYC) Application Form - For Non Individuals

☐ NEW ☐ CHANGE REQUEST (Please tick ✓ the appropriate)

Please fill this form in ENGLISH and in BLOCK LETTERS

(Please tick ✓ the box on left margin of appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding row)

Acknowledgement No. _____

A IDENTITY DETAILS	
☐	1. Name of the Applicant _____
☐	2a. Date of Incorporation 2b. Place of Incorporation _____
☐	3. Date of commencement of business
☐	4a. Permanent Account Number (PAN)
☐	4b. Registration No. (e.g. CIN) _____
☐	5. Status (Please tick any one)
	☐ Private Limited Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust ☐ Charities ☐ NGO's ☐ FI ☐ FII ☐ HUF ☐ AOP ☐ Bank ☐ Government Body ☐ Non-Govt. Organization ☐ Defense Establishment ☐ BOI ☐ Society ☐ LLP ☐ FPI - Category I ☐ FPI - Category II ☐ FPI - Category III ☐ Others (Please specify)

B ADDRESS DETAILS	
☐	1. Address for Correspondence _____
	City / Town / Village _____ Pin Code _____
	State _____ Country _____
☐	2. Specify the Proof of Address submitted for Correspondence Address: _____
☐	3. Contact Details
	Tel. (Off.) _____ Fax _____
	Tel. (Res.) _____ Mobile No _____
	E-Mail Id. _____
☐	4. Registered Address (If different from above) _____
	City / Town / Village _____ Pin Code _____
	State _____ Country _____
☐	5. Specify the Proof of Address submitted for Registered Address: _____

C OTHER DETAILS If space is insufficient, enclosed these details separately (illustrative format enclosed)	
☐	1. Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and whole time directors : _____
☐	2a. DIN of Whole time directors : _____
☐	2b. AADHAAR number of Promoters/Partners/Karta : _____

D 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 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.	
Date	6  _____ Name & Signature of the Authorised Signatory(ies)

FOR OFFICE USE ONLY

In Person Verification (IPV) Details:

Name of the person who has done the IPV: _____

Designation: _____ Employee ID: _____

Name of the Organization: **Ishaan Metals Pvt. Ltd.**

Date of IPV:

Signature of the person who has done the IPV _____

Seal/Stamp of the Intermediary

☐ Originals Verified & Self Attested Document copies received

Date Place : _____

Signature of the Authorised Signatory _____

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

1. Name _____ 2. Relationship with Applicant (i.e. promoters, whole time directors etc.) _____ 3a. PAN 3c. Aadhaar (UID) Number _____ 4. Residential/ Registered Address _____ City / Town / Village _____ Pin Code _____ State _____ Country _____ 5. Tel. / Mobile No. _____	3b. DIN PHOTOGRAPH Please affix your recent passport size photograph and sign across it
---	--

1. Name _____ 2. Relationship with Applicant (i.e. promoters, whole time directors etc.) _____ 3a. PAN 3c. Aadhaar (UID) Number _____ 4. Residential/ Registered Address _____ City / Town / Village _____ Pin Code _____ State _____ Country _____ 5. Tel. / Mobile No. _____	3b. DIN PHOTOGRAPH Please affix your recent passport size photograph and sign across it ☐ PEP ☐ Related to a PEP
--	--

1. Name _____ 2. Relationship with Applicant (i.e. promoters, whole time directors etc.) _____ 3a. PAN 3c. Aadhaar (UID) Number _____ 4. Residential/ Registered Address _____ City / Town / Village _____ Pin Code _____ State _____ Country _____ 5. Tel. / Mobile No. _____	3b. DIN ☐ PEP ☐ Related to a PEP
--	--

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

1. Name _____ 2. Relationship with Applicant (i.e. promoters, whole time directors etc.) _____ 3a. PAN 3c. Aadhaar (UID) Number _____ 4. Residential/ Registered Address _____ City / Town / Village _____ Pin Code _____ State _____ Country _____ 5. Tel. / Mobile No. _____	3b. DIN ☐ PEP ☐ Related to a PEP
--	--

PHOTOGRAPH

Please affix
your recent passport
size photograph and
sign across it

1. Name _____ 2. Relationship with Applicant (i.e. promoters, whole time directors etc.) _____ 3a. PAN 3c. Aadhaar (UID) Number _____ 4. Residential/ Registered Address _____ City / Town / Village _____ Pin Code _____ State _____ Country _____ 5. Tel. / Mobile No. _____	3b. DIN PHOTOGRAPH Please affix your recent passport size photograph and sign across it
---	--



 Name & Signature of the Authorised Signatory (ies)
 Date :

ANNEXURE 1 (PART - II)

TRADING ACCOUNT RELATED DETAILS



ISHAAN METALS PVT. LTD.

FOR INDIVIDUALS & NON-INDIVIDUALS

PHOTOGRAPH

Please affix
Authorized
Signatories recent
passport size
photograph and
sign across it.

A. OTHER DETAILS

Gross Annual Income Details (please specify)	Income Range per annum : ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac ☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ >1 Crore OR
Net-Worth as on (Compulsory for Non-Individual Clients)	(date)..... (Rs.) (Net worth should not be older than 1 year)
Occupation (For Individuals Only) (please tick any one and give brief details)	☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Retired ☐ Housewife ☐ Student ☐ Business ☐ Professional ☐ Farmer ☐ Others. (Specify) _____
Please tick, as applicable (For Individuals Only)	☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP) ☐ Not Related to Politically Exposed Person (PEP)
Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors :	
(If you have a landline connection, kindly provide the same)	

B. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank Account Number	Account Type	MICR Number	IFSC Code
			☐ Saving ☐ Current ☐ Others		

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.

C. DEPOSITORY ACCOUNT(S) DETAILS, if available

Depository Participant Name	Name of Depository	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	☐ NSDL ☐ CDSL			
	☐ NSDL ☐ CDSL			

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

D. TRADING PREFERENCES

Note : Please sign in the relevant boxes against the Exchange with which you wish to trade. The Exchange not chosen should be struck off by the client.

Sr. No.	Name of the National Commodity Exchanges	Date of consent for trading on concerned Exchange	Signature of the Client
1.	MCX		7

[In case of allowing a client for trading on any other Exchange at a later date, which is not selected now, a separate consent letter is required to be obtained by the Member from client and to be kept as enclosure with this document]

E. INVESTMENT / TRADING EXPERIENCE

- ☐ No Prior Experience
- ☐ _____ Years in Commodities
- ☐ _____ Years in other investment related fields

F. GST DETAILS (As applicable, State wise)

Legal Name			
Trade Name			
GSTIN		Registration Date	
Name of the State		State Code	
Other State GSTIN		Registration Date	
Name of the State		State Code	

CATEGORIZATION IN COMMODITIES DERIVATIVES SEGMENTS

Note : According to SEBI Circular No. SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 and the circular of Recognized Stock Exchange having Commodity Derivative Segment. For more information please visit to website of SEBI and Exchange.

Client Name										
Trading Code										
PAN No.										

Please select exchange : ☐ MCX ☐ NCDEX ☐ All Segment

Please select categories and product type :

Categories	Product Types				
☐ Farmer / FPOs	☐ Bullions	☐ Base Metal	☐ Energy	☐ Agri Commodities	☐ All
☐ Value Chain Participants (VCPs)	☐ Bullions	☐ Base Metal	☐ Energy	☐ Agri Commodities	☐ All
☐ Foreign Participant	☐ Bullions	☐ Base Metal	☐ Energy	☐ Agri Commodities	☐ All
☐ Domestic Financial Institutional Investor	☐ Bullions	☐ Base Metal	☐ Energy	☐ Agri Commodities	☐ All
☐ Other (Specify	☐ Bullions	☐ Base Metal	☐ Energy	☐ Agri Commodities	☐ All

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.

Client Name		Client Signature	
-------------	--	------------------	--

Enclosure : ☐ Copy of PAN Card

G. PAST REGULATORY ACTIONS

Details of any action/proceedings initiated/pending/taken by SEBI / Stock Exchange / Commodity Exchange / any other authority against the client or its Partners / Promoters / Whole Time Directors / Authorized Persons incharge during the last 3 years :

☐ No ☐ Yes (If yes, please specify _____)
(_____)

H. DEALING THROUGH OTHER MEMBERS

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

Member's/Authorised Person(AP)'s Name			
Exchange			
Exchange's Registration No.			
Concerned Member's Name with whom the AP is registered			
Registered Office Address			
Tel.:		Fax	
E-mail		Website	
Client Code			
Details of disputes / dues pending from/to such Member / AP:			

I. INTRODUCER DETAILS (optional)

Name of the introducer	(Surname)	(Name)	(Middle Name)
Status of the Introducer	☐ Authorised Person ☐ Existing Client ☐ Others (Pl. Specify)_____		
Address and Phone No. of the Introducer			
	Signature of the Introducer		

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)

NOMINATION FORM**(For Individual Only)***(SEBI/HO/OIAE/OIAE_IAD-3/P/ON/2025/01650, dated January 10, 2025)*

I/We hereby nominate the following persons(s) who shall receive all the assets held in my/our account /folio in the event of my/our demise, as trustee and on behalf of my/our legal heir(s)*

NOMINATION DETAILS

	Mandatory Details						Additional Details	
	Name of Nominee	Share of Nominee (%)**	Relationship	Postal Address	Mobile No. & E-mail	Identity Number	D.O.B.	Guardian
Nominee 1								
Nominee 2								
Nominee 3								
Nominee 4								
Nominee 5								
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

*Joint Accounts :

Event	Transmission of Account / Folio No.
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners
Demise of all joint holders simultaneously - having nominee	Nominee
Demise of all joint holders simultaneously - not having nominee	Legal heir(s) of the youngest holder

** If % is not specified, then the assets shall be distributed equally amongst all the nominees (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required.

**** to be furnished only in following conditions / circumstances :

- Date of Birth (DoB) : please provide, only if the nominee is minor.
- Guardian : It is optional for you to provide, if the nominee is minor.

(1) I/We want the details of my/our nominee to be printed in the statement of holding, provided to me/us by the AMC/ DP as following : (please tick, as appropriate).

☐ Name of Nominee(s)

☐ Nomination : Yes / No.

(2) I hereby authorize _____ (nominee number _____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He/She is authorized to encash my assets up to _____ % of assets in the account/folio or Rs. _____

(strike off portions that are not relevant)

(3) This nomination shall supersede any prior nomination made by me/us, if any.

	First Holder	Second Holder	Third Holder
Signatures	8 		
Witness(es)	Name of the Witness	Address of the Witness	Signature of the Witness
Witness-1			
Witness-2			

* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Rights, Entitlement and Obligation of the investor and nominee :

- If you are opening a new demat account / MF folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of the this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the AMC/DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account / folio.
- In case all your nominees do not claim the assets from the AMC/DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account / folio, if case of your physical incapacitation. This mandate can be changed any time you choose.
- The signatories for this nomination form in joint folio/s account, shall be the same as that of your joint MF folio / demat account i.e.
 - 'Either of Survivor' Folios / Accounts - any one of the holder can sign.
 - 'Jointly' Folios / Accounts - both holders have to sign.

Transmission Aspects

- AMCs / DPs shall transmit the folio / account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC/DP.
- In case of multiple nominees the assets shall be distributed pro-rata to the surviving nominees, as illustrated below :

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% Share	Nominee	% initial share	% of A's share to be apportioned	Total % Share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

DECLARATION FOR OPTING OUT OF NOMINATION

FOR INDIVIDUAL ONLY

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio/ demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account.

NAME AND SIGNATURE OF HOLDER(S)*

	First / Sole Holder	Second Holder	Third Holder
Name			
Sign. of Holder	9 		

* Signature of witness, along with name and address are required, if the account holder affix thumb impression, instead of 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' 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.

Place	
-------	--

Date	
------	--

10 

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

**Form need to be signed by all the authorized signatories
(In case of Non-Individual Clients).*

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

	Documents verified with Originals
Name of the Employee	
Employee Code	
Designation of the Employee	
Date	
Signature	

I / We undertake that we have made the client aware of tariff sheet and all the voluntary/non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD, 'Do's and Dont's' and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the tariff sheet and all the voluntary/non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website for the information of the clients.

For **Ishaan Metals Pvt. Ltd.**

Signature of the Authorised Signatory

Seal / Stamp of the Member

Date : _____

BROKERAGE STRUCTURE

Commodity	Brokerage	Open Position Charge	Minimum	Remarks

NOTE:

1. Transaction charges as per Exchange will be charged extra.
2. Stamp duty will be levied as per local laws and will be charged extra.
3. Goods and Service tax as per GST Act.
4. All customers will get Digital Contract Notes. Physical contract notes provided on request at extra cost.
5. Charges/service standards are subject to revision at sole discretion of Ishaan Metals Pvt. Ltd.
6. Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
7. Management reserves the right to freeze, discontinue or suspend any account if required.
8. In case of Physical Contract note are being dispatched to client, a difference of Rs. 25/- in total brokerage booked on a particular date would be charged toward minimum processing fee.
9. Monthly charges for online trading connectivity will be extra.
10. Clearing charges @ Rs. 50/- per crore of total turnover (including notional turnover) in derivatives segments will be charged extra.

I/We, _____
have read the above given information and agree to pay the same

11 _____
Client Signature**DISCLOSURE INFORMATION (For Ishaan Metals Pvt. Ltd.)**

To, _____
(Client Name)

Dear Sir/Madam,

This is to inform you that we do client based trading and Pro-account Trading in Multi Commodity Exchange of India Ltd (MCX).

Thanks & best regards,

For Ishaan Metals Pvt. Ltd.

Authorised Signatory / Director

I/We acknowledge the receipt of the information given by Ishaan Metals Pvt. Ltd. that they do client based trading and Pro-account trading.

12 _____
Client Signature

VOLUNTARY DOCUMENTS

To,
ISHAAN METALS PVT. LTD.

Member : MCX

Regd. Office : 39-A, Double Storey, Main Road,
Malkaganj, Delhi-110007 (India)

Dear Sir,

I/We _____ a client with member M/s. **ISHAAN METALS PVT. LTD.** of Exchange undertakes as follows:

- I/We am/are aware that the member has to provide physical contract note in respect of all the trades placed by me/us unless I/We myself want the same in the electronic form.
- I/We am/are aware that the member has to provide electronic contract note for my/our convenience on my/our request only.
- Though the member is required to deliver physical contract note, I/We find that it is inconvenient for me/us to receive physical contract notes. Therefore , I/We am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out/ ordered by me/us.
- I/We have access to a computer and am/are a regular internet user, having sufficient knowledge of handling the email operations.
- My/our email id is* _____.
This has been created by me/us and not by someone else.
- I/We am/are aware that this declaration form should be in English or in any other Indian language known to me/us.
- I/We am/are 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.
- This authorization provided by me shall continue and remain valid until revoked by me by giving a notice in writing.

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

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

Client Name: _____

Unique Client Code : _____

PAN: _____

Address : _____

13 

Client's Signature _____

Date : _____ Place: _____

Verification of the client signature done by,

Name of the designated officer of the Member _____

Signature _____

RUNNING ACCOUNT AUTHORISATION

Date : _____

Client Name : _____

To,

Client Code : _____

ISHAAN METALS PVT. LTD.

Member : MCX

Regd. Office : 39-A, Double Storey, Main Road,
Malkaganj, Delhi-110007 (India)

Dear Sir,

In order to facilitate operations, I/we hereby authorize you to maintain my / our account, both commodities and funds, with you on a running account basis and consider the balances in my / our running funds / commodities account, with you for the purpose of margins or any other obligations due to you across any segment of any Commodity Exchange and also authorize you to hold my / our credit / commodities in anticipation of future debits in my / our account till my / our further instructions to release the same. I/We further authorize you to set off / adjust any of my/our debit/dues in any segment of any Exchange with credit of any other segments or any exchange(s) in my/our account.

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

We may retain an amount up to Rs.10,000/- (Net amount) across segment and across Stock Exchanges.

Further, I/We desire actual settlement of funds and commodities at least one in a (strike out non preference)

☐ Quarterly (i.e. at a gap of not more than 90 days) or

☐ Monthly (i.e. at a gap of not more than 30 days)

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

Your's faithfully,

14 

Client's Signature

LETTER OF AUTHORITY

Date : _____

Client Name : _____

To,

ISHAAN METALS PVT. LTD.

Client Code : _____

Member : MCX

Regd. Office : 39-A, Double Storey, Main Road,
Malkaganj, Delhi-110007 (India)

Dear Sir,

Sub: Letter of Authority

I / We am / are dealing in Commodity with you at Commodity Exchanges and in order to facilitate ease of operations, I / We authorize you as under:

1. I / We authorise you to setoff outstanding in any of my accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in Exchange and/or against the value of cash margin or other collateral provided to you by me / us.
2. I / We hereby authorise you not to provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contracts issued by you.
3. I/We hereby authorize you to keep all the commodities which we give you in margin including the payout of commodities received, to use the commodities for meeting margin / other obligation in Commodity exchange in whatever manner which may include pledging of commodities in favour of bank and/or taking loan against the same of meeting margin/pay-in obligation on our behalf or for giving the same as margin to the Commodity Exchange or otherwise.
4. I/We hereby authorise you to maintain a running account.
5. I / We request you to retain credit balance in any of my/our account and to use the idle fund towards our margin/future obligation of all the exchanges unless I/We instruct you otherwise.
6. I / We request you to retain/Commodity/warehouse receipt in your Demat account for my / our margin / future obligations at all the Exchanges, unless I / We instruct you to transfer the same to my / our account.
7. I / We hereby authorise you to maintain our agro commodity stock with you along with comprehensive insurance cover and pay warehouse charges on our behalf and also I/we hereby authorise to debit my account with same.
8. I / We request you to consider my / our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me / us all the confirmation on telephone unless instructed otherwise in writing. I/We am / are getting required details from contracts issued by you.
9. I/We will completely rely on the log reports of your despatching software as a conclusive proof of dispatch of e-mail to me and will not dispute the same.
10. I/We will inform you the change in my / our e-mail, if any, in future either by regd. post or through digitally signed e-mail.
11. Trading of Commodity 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, of any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control and may result in delay in processing or note processing buy or sell orders either in part or in full.
I/We agree that I / We shall be fully liable and responsible for any such problems/ glitch.
12. I / We confirm that I / We will not sublet the trading terminal on any term of connectivity from my / our place without your prior approval.
13. I/We shall abide by the rules regulations/guidelines circulars of the exchange issue from time to time as applicable and shall be liable for non-adherence.
14. I / We agree that any loss due to any erroneous entry / erroneous order modification shall be entertained only to the extent of insurance received.
15. I / We agree that any MTM loss on open positions should be adjusted against the initial deposit maintained in cash by me / us with you.

Thanking you,

Yours faithfully,

15 

Client's Signature

LETTER OF AUTHORITY TO CREATION OF FDR AND ABC

To,
ISHAAN METALS PVT. LTD.

Regd. Office : 39-A, Double Storey, Main Road,
Malkaganj, Delhi-110007 (India)

Client Name : _____

Client Code : _____

Date : _____

Dear Sir/Madam,

I/We hereby authorize Ishaan Metals Private Limited (IMPL) to debit my/our trading account with IMPL bearing Unique Client Code _____ When my/our ledger balance exceed from required margin for creation of Fixed Deposit (FDR) with Bank and for transferring Additional Base Capital (ABC).

I hereby authorized IMPL to debit my/our trading account or withdraw the credit amount lying in my trading account for an amount required for FDR and create the fixed deposit with _____ Bank for the period as they think fit.

As agreed between us, the rebate/interest which accrues on the said amount may be credited to my said ledger account when they received from Bank.

I/We hereby agree and understand that the fixed deposit created with _____ Bank is solely with my instruction and consent and the same is within my knowledge. I am completely aware of the risk involved in creation of the fixed deposit with the bank. I hereby state, confirm and undertake that I shall be solely responsible and take the onus of the fixed deposit created by IMPL if _____ Bank, due to any restraining orders, notifications, circulars, defaults etc. in future, fails to repay the fixed deposit amount lying with them. I shall never held IMPL responsible for the same or demand or claim such amount from IMPL. I affirm & declare that I shall have no claim whatsoever against IMPL whether for the loss of interest or fixed deposit amount in any other manner whatsoever.

16 

Client's Signature

FORMAT OF UNDERTAKING FOR REACTIVATION OF CLIENT TRADING ACCOUNT

(To be taken on the letterhead in case of non-individual client)

Date : _____

Client Name : _____

To,
ISHAAN METALS PVT. LTD.

Regd. Office : 39-A, Double Storey, Main Road,
Malkaganj, Delhi-110007 (India)

Client Code : _____

Sir,

I/we _____ (name of the client-Individual/Non-individual), having trading account with Unique Client Code _____ allotted to me/us by your broking house situated at _____ (branch name) since _____ (date of activation of the account).

I/we am/are not trading in commodity futures contracts on the MCX trading platform since _____ (last trade date). However, I/we am/are desirous to start trading again in commodity futures contracts on the MCX platform. In this regard, you are requested to reactivate my/our-trading account and allow trading with immediate effect.

I/we hereby undertake that:

1. I/We have completed all the KYC formalities and submitted all the required documents thereof (Proof of Identity, Address Proof, Bank Proof, PAN, etc.), at the time of opening the trading account originally and enrolling as a client with you.
2. There are no changes in respect of my/our Address, Bank account, PAN details, as provided to you earlier. Further, there is no material change in the other information provided to you in KYC Form.

I/we declare that the information given above is true to my/our knowledge. I/we, therefore, request you that the requirement of fresh KYC may not be insisted upon.

Yours Faithfully,

17 

Client's Signature

UNDERTAKING FOR ACTIVATION OF OPTIONS SEGMENT IN COMMODITIES TRADING ACCOUNT

Date : _____

Client Name : _____

To,

ISHAAN METALS PVT. LTD.**Regd. Office :** 39-A, Double Storey, Main Road,
Malkaganj, Delhi-110007 (India)

Sir,

Client Code : _____

I/We _____ (name of the client-Individual/Non-individual), having trading account with Unique Client Code _____ allotted to me/us by your broking house since _____ (date of activation of the account).

I/We would request you to activate options segment of MCX Exchanges in my/our trading account with Unique Client Code _____ allotted to me/us.

I/we hereby undertake that I/we have completed all the KYC formalities and submitted all the required documents thereof (Proof of Identity, Address Proof, Bank Proof, PAN, etc.), at the time of opening the trading account originally and enrolling as a client with you. Further, I/we declare that:

(Tick whichever in applicable)

☐ There are no changes in respect of my/our Address, Bank account, PAN details, as provided to you earlier. Further, there is no material change in the other information provided to you in KYC Form. I/We, therefore, request you that the requirement of fresh KYC may not be insisted upon.☐ There is a change in my/our _____ (Bank/Address/PAN) details, so I/we am/are enclosing modification request form along with the required documents for the updation in my/our account details.

I/We declare that the information given above is true to my/our knowledge and acknowledge receipt of Risk Disclosure Document.

Yours Faithfully,

Name of the Client : _____

Signature of the Client :  _____

Mobile No. _____

E-mail ID _____

(For Non Individuals, Name & Signature of Designated Director/Managing Partner/Karta/Proprietor along with stamp of the company/firm).

AUTHORISATION FOR TRADE CONFIRMATION

To,

ISHAAN METALS PVT. LTD.**Regd. Office :** 39-A, Double Storey, Main Road,
Malkaganj, Delhi-110007 (India)

Client Name : _____

Client Code : _____

Date : _____

Ref: -

CODE -

Subject: - Authorisation for trade confirmation through telephonic call/ personal visit.

Dear Sir,

I/We hereby authorise Mr. _____ having Pan No. _____ and telephone no. _____ as authorised person to confirm the trade through telephonic conversation or through personal visit at your place, if I am not able to confirm the trade by either mode. So, please consider the above authorisation & proceeds the daily trade confirmation.

Thanking You

Yours faithfully



Client's Signature

ADJUSTMENT OF BALANCES IN FAMILY ACCOUNTS

To,

ISHAAN METALS PVT. LTD.

Date : _____

Member : MCX**Regd. Office :** 39-A, Double Storey, Main Road,
Malkaganj, Delhi-110007 (India)

Dear Sir,

We, the below mentioned family members, have been regularly trading and investing with you on the MCX.

For the purpose of operations with you, we agree to be treated as family account.

In order to facilitate operations we hereby authorise you to set off the outstandings in any of the below mentioned accounts against credits/commodities available or arising in any of below accounts irrespective of the fact that such credits/commodities in the accounts may pertain to transactions in any segment of any Exchange and/or against the value of cash margin or collateral in the form of warehouse receipts. Bank guarantees, Immoval property/shares or other as provided by any member(s) of the family.

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

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

We have affixed our signatures below consenting to the above mentioned terms of adjustments.

Sr. No.	Name of the Person	Client Code	Signature of the Person

20 _____
Client's Signature**DECLARATION BY THE USER**

I hereby declare that I am aware about the Rules, Byelaws, Regulations and Circulars issued there under by the Exchange. I agree to become an Approved User (Internet) of ISHAAN METALS PVT. LTD. I would intimate the Exchange on ceasing to be an employee / Approved User of ISHAAN METALS PVT. LTD. I hereby agree to abide by the Rules, Bye-laws, Regulations and Circulars issued by the Exchange that may be in force from time to time and understand that appropriate action may be initiated by the Exchange in case of violation of the Rules, Bye-laws, Regulations and Circulars issued by the Exchange. I certify that I have not applied for any other Internet User ID on the same segment for which this ID's now being applied for I will not allow anybody else to access / use the MCX Trading System using the Internet User ID so allotted to me.

I shall keep complete secrecy of the password and undertake not to disclose the password to any person.

21 _____
Client's Signature

Date : _____ Place : _____

CLIENT DEFAULTER DECLARATION

I/We, _____ having PAN No. _____ do hereby declare that I/we have not been involved in any terrorist activity and we have not been declared as defaulter or my name is not appearing in defaulter database as per SEBI/ FMC/Various Exchanges/Regulatory bodies/CIBIL (Credit Information Bureau of India Ltd.) etc. for that I/we have not been declared bankrupt/involved.

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

22 _____
Client's Signature

Name :

Client Code : Date :

[Note : To be signed by person..... not to be signed by..... attorney/authorised person etc.]

DECLARATION FOR NAME MISMATCH

I hereby declare that

1. My name mentioned in PAN Card is _____
2. In additional ID Proof i.e. Voter Id / Passport / Driving License it is _____
3. In Bank A/c No. _____ it is _____
4. In _____ in this _____

Further I declare that the names mentioned in above details documents pertains to me, therefore I request my account and make all payouts in the same name as mentioned in my bank proof.

Thanks.

23 

Client's Signature _____

Name: _____ Date : _____

Client Code : _____

MOBILE DECLARATION

I, _____ having Pan No. _____ do hereby declare that my mobile no. is _____. Further, I authorize ISHAAN METALS PVT. LTD. that the same maybe used for giving me any information/alert/sms/call/password.

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

24 

Client's Signature _____

Name: _____ Date : _____

Client Code : _____

PMLA DECLARATION

To,

ISHAAN METALS PVT. LTD.

Dated : _____

Regd. Office : 39-A, Double Storey, Main Road,
Malkaganj, Delhi-110007 (India)

Dear Sir/s,

This has reference with the trading account bearing Client Code _____, already opened/proposed to be opened by me/us with you for the purpose of doing trading transactions in Commodity Derivative Contracts on MCX.

With regards to the same, I/We wish to inform you that I/we propose to undertake high value transactions bearing value of more than Rs. 5,00,000/- (Rupees five lacs only) per day in the said trading account. The purpose of my / our trading shall be as follows:

1. Speculation
2. Hedging
3. Arbitrage
4. Delivery

(Please tick appropriate entry/ies)

I/we do hereby confirm that I/we shall abide by all the provisions as are contained in **Prevention of Money Laundering Act, 2002** as well as all the Rules, Regulations and Notifications issued pursuant thereto.

Further, I/we also do hereby confirm that I/we shall route all the receipts/payments in respect of my/our dealings in said trading account, only through such bank account/s that has/have been registered by me /us with you.

Kindly take the above on record and do the needful.

Thanking you,

Yours truly,

25 

Client's Signature _____

Name: _____ Client Code _____



FATCA & CRS Declaration - Individual

PAN Trading Code DP Code

Name

Place of Birth Country of Birth

Nationality

Annual Income ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac
☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ > 1 Crore

Net Worth **Amount Rs.**..... Net Worth as on

(Net worth should not be older than 1 year)

Occupational ☐ Business ☐ Private Sector ☐ Professional ☐ Government Service ☐ Public Sector
Detail ☐ Agriculturist ☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others Pl. Specify

Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐

Are you a tax resident of any country other than India ☐ Yes ☐ No

If yes please indicates the all countries in which you are resident for tax purpose and the associated Tax ID number below.

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.			
2.			
3.			

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Ishaan Metals Pvt. Ltd. for any modification to this information promptly. I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Date :

26

Client's Signature

Place :

For Investor convenience, Ishaan Metals Pvt. Ltd. collecting this mandatory information for updating across all Group Companies of Ishaan Metals Pvt. Ltd. whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest Ishaan Metals Pvt. Ltd. branch or you can dispatch the hard copy to-

Ishaan Metals Pvt. Ltd.
39-A, Double Storey, Main Road, Malkaganj, Delhi-110007
Phone : 011-47890000

• For Detail Terms & Conditions please visit www.ishaanmetals.com



Name _____

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN #			
Address	Zip State: _____ Country: _____	Zip State: _____ Country: _____	Zip State: _____ Country: _____
Address Type	☐ Residence ☐ Business ☐ Registered office	☐ Residence ☐ Business ☐ Registered office	☐ Residence ☐ Business ☐ Registered office
Tax ID %			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	☐ Service ☐ Business ☐ Others _____	☐ Service ☐ Business ☐ Others _____	☐ Service ☐ Business ☐ Others _____
Nationality			
Father's Name			
Gender	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) [§]			

* To include US, where controlling person is a US citizen or green card holder

If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

*In case Tax Identification Number is not available, kindly provide functional equivalent

§ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Ishaan Metals Pvt. Ltd. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name	
Designation	
27  Client's Signature	Date : Place :

For Investor convenience, Ishaan Metals Pvt. Ltd. collecting this mandatory information for updating across all Group Companies of Ishaan Metals Pvt. Ltd. whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest Ishaan Metals Pvt. Ltd. branch or you can dispatch the hard copy to-

Ishaan Metals Pvt. Ltd.

39-A, Double Storey, Main Road, Malkaganj, Delhi-110007, Ph.: 011-47890000

• For Detail Terms & Conditions please visit www.wealthdiscovery.in

MOST IMPORTANT TERMS AND CONDITIONS (MITC)

(For non-custodial settled trading accounts)

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

28 

Client's Signature

DECLARATION BY HUF

To,
ISHAAN METALS PVT. LTD.

Regd. Office : 39-A, Double Storey, Main Road,
Malkaganj, Delhi-110007 (India)

Dated : _____

As our HUF firm wishes to open an account with you in the said name.....

we beg to say that the first signatory to this letter, i.e., ...is the Karta of the Joint Family and other signatories are the adult co-parceners of the said family.

We further confirm that the business of the said joint family is carried on mainly by the said Karta as also by the other signatories hereto in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims due to you from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the Karta, including the share of minor co-parceners

In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952, we have not got our said firm registered under the said Act.

We hereby undertake to inform you of the death or birth of a co-parcener of any change occurring at any time in the membership of our joint family during the currency of the account.

This is to certify that following are the family members under _____ (HUF)											
S. No.	Name	Gender (Male/Female)	Relationship with Karta	Date of Birth							
1.				D	D	M	M	Y	Y	Y	Y
2.				D	D	M	M	Y	Y	Y	Y
3.				D	D	M	M	Y	Y	Y	Y
4.				D	D	M	M	Y	Y	Y	Y
5.				D	D	M	M	Y	Y	Y	Y
6.				D	D	M	M	Y	Y	Y	Y

For _____ (HUF)

* Please stamp and sign.



Client Signature (Karta)

FORMAT OF LETTER TO BE OBTAINED FROM THE BANK FOR VERIFICATION

To,
ISHAAN METALS PVT. LTD.

Member : MCX

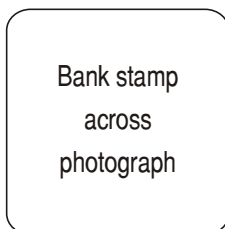
Regd. Office : 39-A, Double Storey, Main Road, Malkaganj, Delhi-110007 (India)

Dear Sir,

Date : _____

This is to certify that the account no. of M/s. _____ with M/s. _____ with our branch has been active since _____ years/months and the operation of the account has been satisfactory.

We further confirm that the photograph herein bears likeness to the identity of the above mentioned person & that the address of the person is as given below.



Type of Account _____

Name, Signature of the Branch Manager

Stamp of the Bank and the Branch

Client Signature : _____

Signed in my presence and Attested :

Signature of Branch Manager :

DECLARATION BY PARTNERSHIP FIRM

To, (To be obtained on Pre-printed letter head of the firm)

ISHAAN METALS PVT. LTD.

Dated : _____

Regd. Office : 39-A, Double Storey, Main Road,
Malkaganj, Delhi-110007 (India)

Dear Sir,

We refer to the trading account opened with you in the name of _____ And declare and authorize you as under :

We recognize that a beneficiary account can not be opened with Depository Participant in the name of the partnership firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the commodities transfer obligations, pursuant to the trading operation, we authorize you to recognize the beneficiary account No. _____ with Depository _____ Having DP ID _____ opened as a joint account in the names of the partners of the firm.

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

Yours truly,

Signature of Partner with rubber Stamp_____
Signature of Partner with rubber Stamp_____
Signature of Partner with rubber Stamp**FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATES / TRUSTS**

(To be obtained on pre-printed Letterhead of company)

(This Letter is to be obtained only if the client is a body corporate)

Certified True Copy of the Resolution passed at the meeting of the Board of Directors/Trustees/of _____

Ltd. / Trust and having its registered office at _____
_____ held on _____ day of _____ 20_____ at _____ AM/PM

Resolved that the Company/Trust be registered as CLIENT with ISHAAN METALS PVT. LTD., member of MCX and the said Member be and is hereby authorised to honour instruction oral or written, given on behalf of the Company/Trust by any of the under noted authorised signatories:

SNo.	Name	Designation
1.	_____	_____
2.	_____	_____
3.	_____	_____

who are authorised to sell, purchase, transfer, endorse, negotiate and/or otherwise through ISHAAN METALS PVT. LTD. on the behalf of the Company/Trust.

RESOLVED FURTHER THAT Mr. _____ and /or Mr. _____, Directors/Trustees of the

Company/Trust be and are hereby deemed necessary or expedient to give effect to this resolution.

AND RESOLVED FURTHER THAT, the Common Seal of the Company be affixed, whenever necessary, in the presence of all Directors or of anyone director and Company Secretary, who shall sign the same in token of their presence.

For _____ Ltd.

Chairman / Company Secretary / All Trustees_____
Specimen Signatures of the Authorised Persons

S. No. Name

(The above signatures to be attested by the person signing the resolution for account opening on behalf of the Company/Trust)



ISHAAN METALS PVT. LTD.

CIN : U74999DL2003PTC122642

MEMBER

Multi Commodity Exchange of India Ltd. (MCX) (Membership No.: 16390)

SEBI Regn. No.: INZ000036931

Regd. Office :

39-A, Double Storey, Main Road, Malkaganj, Delhi-110007 (INDIA)

Phone : 011-47890000 • Telefax : 91-11-23856053

E-mail : info@ishaanmetals.com