ACCOUNT OPENING KIT
INDEX

PART - A

S. No.	Name of the Document	Brief Significance of the Document	Part	Page No From	Page No To
MANDATORY DOCUMENTS AS PRESCRIBED BY FMC & EXCHANGES					
1	KYC (Account Opening) application form	KYC form - Document captures the basic information about the constituent and an instruction/check list.	A	1	6
2	Uniform Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the commodities market.	B	1	3
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).	B	4	6
4	Do's and Don'ts for the Investors	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	B	7	8
5	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the Commodity Exchange(s) (to be added by the member).	A	10	10
VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER					
6	Acknowledgment	Acknowledgment Indicating receipt of documents by Clients	A	7	7
7	ECN	Electronic contract note	A	8	8
8	Running Authorization Letter	Authorization for Running Account	A	9	9

Name of Member	**SHIKAGO TRADE PVT. LTD.**
Multi Commodity Exchange of India Limited. (MCX) Membrship No.	10920
National Commodity And Derivatives Exchange (NCDEX)Membrship No.	00636
Indian Commodity Exchange Limited (ICEX) Membership No.	1104
FMC Unique Memebrship Number - MCX	MCX/TCM/CORP/0069
FMC Unique Membership Number - NCDEX	NCDEX/TCM/CORP/0124
FMC Unique Membership number - ICEX	ICEX/TCM/CORP/0119
Registered Office •	Natwar Chamber, 1st flr., 94, Nagindas Master Road, Fort , Mumbai - 400001. Tel.: 4032 4300 Fax : 91- 22 - 2262 3957 Website : www.ssbpl.net
Correspondence office address	Tamrind House, 3rd Floor, Tamrind Lane, Fort, Mumbai 400001. Tel.:4032 4300. Fax 91 - 22 - 30284340; Website : www.ssbpl.net

Compliance officer Name	Mr. Jyotiprasad Lekhwar	**Tel No.** 022 - 4032 4311	**Email :** prasad@ssbpl.net
CEO Name	Mr. Rakesh Nahar	**Tel No.** 022 - 4032 4361	**Email :** rakesh@ssbpl.net

Note : For any grievance/dispute please contact us at the above address or email ID: response@ssbpl.net and Tel No. 91 -22- 4032 4300. In case not satisfied with the response, please contact the Investor Service Cell of MULTI COMMODITY EXCHANGE OF INDIA LIMITED at mcxindia.comTel. No. 91-22- 25649000 and/or Investor Service Sell of National Commodity And Derivatives Exchange at ncdexindia.com and Tel. No. 91-22- 66406609.

**Following documents should not form part of either mandatory or Voluntary documents:*
1) Authorization letter for any inter family / group company / related accounts adjustment
2) Authorization of adjustment of funds among securities exchange and commodities exchange

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (FOR INDIVIDUAL)

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in commodities derivatives on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a regional language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines and other applicable statutory approvals), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted along with other statutory approvals required for investment in commodities.
10. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

C. Proof of Address (POA): - List of documents admissible as Proof of Address:

(Note: Documents having an expiry date should be valid on the date of submission.)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. 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.
5. 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.
6. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim (subject to the continued exemption granted by Government).

E. List of people authorized to attest the documents:

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

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (FOR NON - INDIVIDUALS)

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.
Government Bodies	● Self-certification on letterhead.
Registered Society	● Authorized signatories list with specimen signatures. ● 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.

Note : a. Form need to be initialized by all the authorized signatories.

Annexture 1

For Individual & Non- Individual

MANDATORY

Types of Account : ☐ Individual ☐ Non- Individual ☐ Online ☐ Offline

KNOW YOUR CLIENT (KYC) APPLICATION FORM

Please fill this form in English and in Block Letters

Please affix your recent passport size photograph and sign

1/11

A. IDENTITY DETAILS

Name of the Applicant	
PAN	

(1) For Individual :

Father's / Spouse Name			
Gender	☐ Male ☐ Female	Marital Status: ☐ Married ☐ Single	Date of Birth D D M M Y Y Y Y
Nationality		Status: ☐ Resident Individual ☐ Non Resident ☐ Foreign National	

(If non-resident/Foreign National, Self -certified copy of statutory approval obtain must be attached)

Unique ID No. / Aadhaar, if available

Any other additional proof of identity

(2) For Non-Individual :

Date of Incorporation D D M M Y Y Y Y **Place of Incorporation :**

Date of Commencement of Business D D M M Y Y Y Y **Registration No. (Eg. CIN):**

Status (Please tick any one) ☐ Private Limited co. ☐ Public Ltd Co. ☐ Body Corporate ☐ Partnership ☐ Trust ☐ HUF ☐ LLP ☐ other (please specify) ____________________

(In case of foreign entity or entity with foreign shareholders, self certified copy of statutory approval obtained must be attached)

Any other additional proof of identity

B. ADDRESS DETAILS (Proof of address must be different from the proof of identity submitted) (For Individual & Non Individual):

1. Correspondence Address :				2.Permanent / Registered Address: (If different from Correspondence)			
City		PIN		City		PIN	
District		Village		District		Village	
State		Country		State		Country	
Specify the proof submitted for Correspondence Address				Specify the proof submitted for Permanent Address			

3. CONTACT DETAILS

Tel. Resi.		Tel. Resi.	
Tel. Off.		Tel. Off.	
Fax		Fax	
Mobile	+ 9 1	Mobile	+ 9 1
Email		Email	

C. OTHER DETAILS

1. Gross Annual Income Details (please specify): Income Range per annum: (Rs. in lacs)

☐ Below 1 Lac ☐ 1 to 5 Lac ☐ 5 to 10 Lac ☐ 10 to 25 Lac ☐ 25 Lac to 1 Cr. ☐ Above 1 Cr.

OR

2. Net-worth as on Date D D M M Y Y Y Y **Rs.** (Net worth should not be older than 1 year)

3. Occupation (please tick any one and give brief details):**(For Individual)**

☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business
☐ Professional ☐ Agriculturist ☐ Others specify ____________________

Client's Signature : 2/12 ____________________

4. Please tick, if applicable: for Individual or any of your authorized signatories / Promoters / Partners / Karta / Trustees / whole time directors: ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP) ☐ Not a Related to a Politically Exposed Person (PEP)

D. BANK ACCOUNT DETAILS - [For Individual/Non-Individual]

Bank Name							
Branch Name & Address							
City		State		Country		Pin Code	
Bank Code (9 Digit MICR Code)							
Bank IFSC Code							
Account No.		Account Type :Saving ☐	Current ☐	Others specify ______________			

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

E. DEPOSITORY ACCOUNT(S) DETAILS , if available (For Individual / Non Individual)

DP Name		
DP ID		
BO Name		
BO ID		
Depository	**NSDL / CDSL**	**NSDL / CDSL**
DP Address		

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

F. TRADING PREFERENCE (For Individual / Non Individual)

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.

Srl. No.	Name of the National Commodity Exchanges	Date of Consent for trading on concerned Exchange	Signature of the Client
1	**MCX** (Multi Commodity Exchange of India Ltd.)		3/12 ✍
2.	**NCDX** (National Commodity and Derivatives Exchange)		4/12 ✍
3.	**ICEX (**Indian Commodity Exchange Limited)		5/12 ✍

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

G. INVESTMENT/TRADING EXPERIENCE (For Individual / Non Individual)

No prior Experience ☐ Years in Commodities ☐☐ Years in other investment related fields ☐☐

H. SALES TAX REGISTRATION DETAILS (As applicable, State wise) (For Individual / Non Individual)

Local Sales Tax State Registration No. :		Validity Date : D D M M Y Y Y Y
Name of the State		
Central Sales Tax Registration No. :		Validity Date : D D M M Y Y Y Y
Other Sales Tax State Registration No. :		Validity Date : D D M M Y Y Y Y
Name of the State :		

I. VAT DETAILS (As applicable, State wise) (For Individual / Non Individual)

Local VAT Registration No. :		Validity Date : D D M M Y Y Y Y
Name of the State		
Other VAT Registration No. :		Validity Date : D D M M Y Y Y Y
Name of the State :		

J. PAST REGULATORY ACTIONS (For Individual / Non Individual)

Details of any action/proceedings initiated/pending/ taken by FMC/ SEBI/ Stock exchange/ Commodity Exchange/any other authority against the Client or its Partners/promoters/ whole time directors/authorized persons in charge during the last 3 years:	

Client's Signature : 6/11 ✍ ______________________

K. DEALINGS THROUGH OTHER MEMBERS (For Individual / Non Individual)

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

Member's/Authorised Person (AP')s Name:

Exchange :		Exchange Regn. No.:	
Concerned Member's Name with whom the AP is registered :			
Regd. Office Address :			
	Tel.:	Fax:	
Email :		Website :	
Client Code :			
Details of disputes/dues pending from/to such Member.AP :			

L. INTRODUCER DETAILS (optional) (For Individual / Non Individual)

Name of the Introducer	Surname Name Middle Name
Status of the Introducer:	☐ Authorized Person ☐ Existing Client ☐ Others, *please specify* ______
Address and Tel No. of the Introducer	
Introducer's Signature	

M. . ADDITIONAL DETAILS (For Individual / Non Individual)

• If you have a land line connection kindly provide the same	
• Whether you wish to receive communication from Member in Electronics form on your Email-ID (If yes then please fill in Appendix-A)	☐ Yes ☐ No
• In case of non-individuals, Name, PAN, DIN/DPIN/UID, residential address & photographs of Promoters/Partners/LLP Partners/Karta/Trustees and whole time directors.	**As Per Annexure Attached**
• Any other information:	

N. NOMINATION DETAILS (For Individual only)

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

Name of the nominee			
PAN of Nominee		Date of Birth (if nominee is a minor)	D D M M Y Y Y Y
Address			
City		State	
Country		Pin	
Telephone No.		Fax No.	
E-mail ID		Relationship with Nominee :	

If Nominee is a minor, details of Guardian : (For Individual only)

Name of Guardian			
Address and phone no. of Guardian			
		Signature of Guardian	

WITNESSES (Only applicable in case the account holder has made nomination) **(For Individual only)**

Name		Name	
Signature		Signature	
Address		Address	

Client's Signature : 7/12 ✍ ______________

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/we am/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) and '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.

Name		Signature 8/12 ✍	
Place		Date	

(If Partner, Corporate or other Signatory, then attest with firm/company seal.)

FOR OFFICE USE ONLY

Unique Client Code (UCC) 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 Don'ts' 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 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.

(Signature of the Authorised Signatory)

Date **Seal/Stamp of Shikago Trade Pvt. Ltd.**

MANDATORY

ACKNOWLEDGEMENT

Date :-

SHIKAGO TRADE PVT. LTD.,
Natwar Chamber, 1st floor,
94, Nagindas Master Road,
Fort, Mumbai 400 001

Dear Sir,

This has reference to necessary Know Your Client (Individual / Non-Individual) Form containing basic information, additional information and other documents executed by me/us. I/We hereby acknowledge receipt of following documents from you:-

1. Risk Disclosure Documents. (Annexure 2).
2. Rights and Obligations of members, authorized persons and clients as prescribed by FMC and Commodity Exchanges. (Annexure 3).
3. Guidance note - do's and don'ts for the investors (Annexure-4).

I/ We state that I/ We have read and understood all above documents and these documents are binding upon me/us.

Thanking you,

Client's Signature : 9/12 ✍

Name of the Client :

Client Code :

Appendix A
Electronic Contract Note [ECN] – DECLARATION
(VOLUNTARY)

To,

SHIKAGO TRADE PVT. LTD.,
Natwar Chamber, 1st floor,
94, Nagindas Master Road,
Fort, Mumbai 400 001.

Dear Sir,

I, ____ a client with Member M/s. ____ of ______________________________

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 h as to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is ______________________________. This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other Indian language known to me.
- This declaration is valid till 31st March ________ (yyyy)

[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 10/12✍

Date :

Place:

Verification of the client signature done by,

Name of the designated officer of the Member

Signature

Date :

VOLUNTARY

RUNNING ACCOUNT AUTHORIZATION FOR ALL EXCHANGE

From : ____

Client Code : ___________________________Date : __/__/____

To,

SHIKAGO TRADE PVT. LTD.,
Natwar Chamber, 1st floor,
94, Nagindas Master Road,
Fort, Mumbai 400 001.

To,

Dear Sirs,

I am / We are regularly Trading with you for Derivative Market in MCX / NCDEX / ICEX. I / We hereby authorised you to do following on my / our behalf:

• I/We hereby give my/our consent to maintain my/our account for funds & Commodities as RUNNING ACCOUNT

•The credit balance lying in my/our account should be considered as margin deposits.

• I/We request you to keep my /our funds with you to meet my/our pay in obligation in the Succeeding settlements of MCX / NCDEX /ICEX

• The actual settlement of funds & commodities shall be done by you every Quarterly interval. You will send statement of funds and commodities I/We shall bring any discrepancy in writing to your notice preferably within 7 days from the receipt of funds / commodities of Statements.

• I/We have noted the following :-

1. This running authorization will continue until it is revoked by me.

2. The Authorization shall be signed by me/us only and not by any power of attorney holder or by any authorized person

3. I/We may revoke the authorization at any time.

• You are requested to accept all my buy/sell orders over the telephone/fax/email conveyed by myself/ourselves or Mr.____who is duly authorized by me.

• I/We hereby authorize the undersigned Mr./ Mrs./Ms.____ to collect and acknowledge on my / our behalf the Bills, Contract Notes, statements or any other documents of my/our daily / periodical transactions.

Specimen Signature of Authorised signatory:

Yours faithfuly,

Client's Signature: 11/12✍

BROKERAGE STRUCTURE (TARIFF SCHEDULE)

SPOT MARKET BROKERAGE

A. TRADING ACCOUNT	%	MINIMUM PAISA
1 FIRST LEG		
2 SECOND LEG (SAME DAY SQ. OFF)		
B Delivery Brokerage		

C Other Charges

Stamp Duty	☑	Yes
Turnover Tax	☑	Yes
Service Tax	☑	Yes
Demat Charges	☑	Yes

DERIVATIVE SEGMENT

A. TRADING ACCOUNT	%	MINIMUM PAISA
1 FIRST LEG		
2 SECOND LEG (SAME DAY SQ. OFF)		
3 NEXT DAY		

B Other Charges

Stamp Duty	☑	Yes
Turnover Tax	☑	Yes
Service Tax	☑	Yes

OTHER LEVIES AS PREVALENT FROM TIME TO TIME

1. Service Tax 2. Stamp Duty 3. Exchange transaction charges 4. Commodity Transaction Tax (CTT) 5. Delayed payment charges not exceeding 2.5% per month or part of the month. 6. Cheque return charges @0.15% of cheque value plus Rs.137/- towards cheque handling charge 7. Physical / Duplicate Contract Note handling charges of Rs.35/- per segment per day. 8. Document and service charges for Commodity account opening Rs.150/- 9. Amount paid / payable by STPL on account of any penalties / charges levied / leviable on STPL due to default / breach committed by client. Any other statutory levies not specified in this tariff sheet. 10.Charges for any other services provided / cost incurred by STPL. 11. Any other charges toward customised / specialised services.

Note:
Rate of the other levies may vary from time to time. You may contact us to know the prevalent rates of the above levies. STPL means Shikago Trade Pvt. Ltd.. Any change in the commercial shall be communicated on your email id registered with us and the same shall also be available in your client login on our website.

Name of the Client : ______________________

Client Code : ______________________

Client's Signature: 12/12✍ ______________________

For office use only

Commodity Exchange Upload Info : ☐ NCDEX on ______________ by ______________
☐ MCX on ______________ by ______________
☐ ICEX on ______________ by ______________