

Name of the Member : **Pentad Commodities Private Limited**

Exchange	Segment	SEBI Reg. No.	Date Of Registration
MCX	Commodity Derivatives	INZ000163833	12th Feb, 2018

Website : [www.pentad.in](http://www.pentad.in)

Registered Office Address :  
# 116-A, 1st Floor, 159, Vinay Bhavya Complex  
CST Road, Kalina, Santacruz E, Mumbai – 400098  
PH: 022 26542864/ 64642009

Correspondence Office Address :  
33/2361 B4, 3rd Floor, Jacob's Building,  
Geethanjali Junction, Vyttila, Kochi 682019.  
Ph : 0484 4047080, 0484 4231111

Dear Investor,

In case of any grievance / complaint / dispute with us, kindly mail us at [grievances@pentad.in](mailto:grievances@pentad.in) or Please contact us below

Designation	Name	Email	Phone No.
Compliance Officer	Treesa Antony	<a href="mailto:compliance@pentad.in">compliance@pentad.in</a>	0484 4231121
C E O	Nikhil K G	<a href="mailto:nikhil@pentad.in">nikhil@pentad.in</a>	022 26542864

If not satisfied with the response of the Pentad commodities Private Limited, you may contact the concerned Stock Exchange at the following –

	Web Address	Contact No	Email-id
MCX	<a href="http://www.mcxindia.com">www.mcxindia.com</a>	022-66318888	<a href="mailto:ig-mcx@mcxindia.com">ig-mcx@mcxindia.com</a>

You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Help line at 1800 22 7575 /1800 266 7575.

## INDEX OF DOCUMENTS

S. No.	Name of the Document	Brief Significance of the Document	Page No
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1.	Account Opening Form and KRA Form	A. KYC Form - Document captures the basic information about the constituent and an instruction/check list.	1 to 5
2	Tariff sheet	Document detailing the rate/amount of brokerage & other charges levied on the client for trading on Members Fee Structure	6
3.	Rights and Obligations of Member, Authorised Person and Client	Document stating the Rights & Obligations of Member, Authorised Person and Client for trading on exchange (including additional rights & obligations in case of internet/wireless technology based trading).	SEPARATE COPY FOR CLIENT
4.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the commodity market.	
5.	Dos & Don'ts for the investor	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	

## VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER

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**A. IDENTITY DETAILS**

1. Name of Applicant

Father's / Spouse Name

Mother's Name

2. A. Gender: ☐ Male ☐ Female ☐ Transgender B. Marital Status : ☐ Single ☐ Married

C. Date of Birth:         3. Citizenship : ☐ Indian ☐ Other (ISO 3166 Country Code)

4. Status: ☐ Resident Individual ☐ NRI ☐ Foreign National ☐ FPI

AADHAAR  PAN  FPI No.  (Attached SEBI Registration Certificate)

6. Specify the proof of identity submitted ☐ PAN ☐ Other specify \_\_\_\_\_

**F1**

Please affix  
the recent passport  
size photograph and  
sign across it

**B. ADDRESS DETAILS**

1. Correspondence/Residence Address/Overseas address for NRI/Foreign Individual:

City/Town/Village

State  Country  PIN

2. Contact Details Tele (Home/Off.)  Mobile No.

E-mail ID :  SMS Facility: ☐ Yes ☐ No

I hereby declare that the aforesaid mobile no./ and or email id belongs to ☐ me or ☐ Mr/Ms. \_\_\_\_\_  
who is my \_\_\_\_\_ (spouse, dependant children and dependant parents).

3. Specify the proof of address submitted for correspondence address

☐ Passport ☐ Aadhaar ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ \*Latest Bank A/c Statement/Passbook  
☐ \*Latest Telephone Bill (only Land Line) ☐ \*Latest Electricity Bill ☐ \*Latest Gas Bill ☐ Others (Please specify) \_\_\_\_\_

Proof of Address	Identification No.	Issuing Authority	Place of Issue/Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

4. Permanent Address (mandatory for NRI If different from above)

City/Town/Village

State  Country  PIN

5 Specify the proof of address submitted for correspondence address

☐ Passport ☐ Aadhaar ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ \*Latest Bank A/c Statement/Passbook  
☐ \*Latest Telephone Bill (only Land Line) ☐ \*Latest Electricity Bill ☐ \*Latest Gas Bill ☐ Others (Please specify) \_\_\_\_\_

Proof of Address	Identification No.	Issuing Authority	Place of Issue/Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**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:        

Place: \_\_\_\_\_

Seal/Stamp of the intermediary Should contain Staff  
Name and Designation  
Signature and Date

**F2**

Sole/First Holder Signature

AMC/Intermediary name OR code \_\_\_\_\_

- ☐ (Originals Verified) Self Certified Document copies received
- ☐ (Attested) True copies of documents received

#### A. BANK DETAILS

Account Type (Default) ☐ Saving ☐ Current ☐ Others (specify) \_\_\_\_\_

Bank Name

Branch Address

Account No

RTGS/NEFT IFSC Code  MICR No.

#### B. DEPOSITORY ACCOUNT(S) DETAILS

DP Name	Depository Name	Beneficiary Name	Beneficiary DP ID	Beneficiary/ Client ID
	CDSL			
	NDSL			

Note : Provide a copy of either Demat master or recent holding statement by DP bearing name of client

#### C. PAST ACTIONS

Whether any past action has been taken ☐ Yes ☐ No

Details of any action/proceedings initiated/pending taken by SEBI / commodity exchange/UN/FATF/SEC /any other authority against the applicant/constituent or its Partners/promoters/whole time Directors /authorized persons in charge of dealing in commodities/securities/laws/Derivatives/Currency Derivatives during the last 3 years.

If yes, provide details \_\_\_\_\_

#### D. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. The exchange not chosen should be struck off by the client.

Name Of Exchange	Date Of Consent For Trading	Client's Signature
MCX		F3

#### E. DEALINGS THROUGH OTHER MEMBERS

If client is dealing through other Member Name/Authorised Person, provide the following details:

Member Name/Authorised Person \_\_\_\_\_ SEBI Registration Number: \_\_\_\_\_

Reg. Office address \_\_\_\_\_ Exchange \_\_\_\_\_

Client ID \_\_\_\_\_ Details of disputes/dues pending from/to such Member Name/Authorised Person: \_\_\_\_\_

#### F ADDITIONAL DETAILS

1. Whether you wish to receive: ☐ Electronic Contract Note \* (ECN) ☐ Physical Contract Note
2. Whether you wish to receive the below standard documents in Electronic Mode\* ☐ Physical Mode ☐
- (a). Rights & Obligations of Members, Authorised Person and clients for trading on commodity exchanges (including additional rights & obligations in case of internet/ wireless technology based trading); (b) Uniform Risk Disclosure Documents ; (d). Guidance Note Detailing Do's & Don'ts for trading on commodity exchanges.
- \*Specify your Email id \_\_\_\_\_
3. Whether you wish to avail of the facility of internet trading/ wireless technology ☐ Yes ☐ No
4. Number of years of Investment/Trading Experience: \_\_\_\_\_

## G. INTRODUCER DETAILS (Optional)

Name of the Introducer: \_\_\_\_\_ Introducer/RM Code \_\_\_\_\_

Status of the Introducer: Sub-broker/Remisier/Authorized Person/Existing Client/Others, please specify \_\_\_\_\_

Address of the Introducer: \_\_\_\_\_

\_\_\_\_\_ Phone No. \_\_\_\_\_



Signature of the Introducer : \_\_\_\_\_

## H. FINANCIAL AND OTHER DETAILS

1. Gross Annual Income Details (Please tick ) ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ Above 25 Lac  
Or Net-worth in Rs. (Net worth should not be older than 1 year) as on (date)
2. Occupation : ☐ Private Sector ☐ Public Sector ☐ Govt. Sector ☐ Business ☐ Not Categorised  
☐ Others
3. Educational Qualification : ☐ 10th ☐ 12<sup>th</sup>. ☐ Graduate. ☐ Post Graduate ☐ Professional  
Name of Employer/ Establishment :                       
Office Address :
4. PEP Category : ☐ Politically Exposed Person\* ☐ Related to Politically Exposed Person  
\* If under PEP Category : ☐ Civil Servant Bureaucrat Current ☐ Former MP ☐ MLA  
☐ MLC Politician Current or Former Head of State ☐ Military officer
5. FPI Client Category : ☐ Category 1 ☐ Category 2 ☐ Category 3

## I. TAX DETAILS\*

GST Number	
PAN	
Legal Name	
Trade Name	
State of Registration	
Date	

\*GST Certificate to be submitted

Client Signature **F4** \_\_\_\_\_

Client Name \_\_\_\_\_

## NOMINATION DETAILS

	Nominee 1	Nominee 2	Nominee 3
Name	*First Name	*First Name	*First Name
	Middle Name	Middle Name	Middle Name
	*Last Name	*Last Name	*Last Name
PAN			
AADHAAR No.			
Mobile/Phone No.			
Email ID			
Address			
City			
State/Country			
PIN			
*Relationship with the BO			
DOB (*If nominee is minor)	DDMMYYYY	DDMMYYYY	DDMMYYYY

### Name of the Guardian of Nominee (if nominee is a minor)

Guardian Details	Nominee 1	Nominee 2	Nominee 3
Name	*First Name	*First Name	*First Name
	Middle Name	Middle Name	Middle Name
	*Last Name	*Last Name	*Last Name
Address			
City			
State/Country			
PIN			
Mobile/Phone No.			
Email ID			
Date of Birth			
*Relationship of the Guardian with the Nominee			
*Percentage of Allocation			
*Residual sharing [please tick any one nominee., If tick not marked default will be first nominee]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

Note: **Two witness** shall attest signature(s) / thumb impression(s)

Name of witness	Address of witness	Signature of witness

Client Signature **F5**\_\_\_\_\_

Client Name \_\_\_\_\_

## 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/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 and all voluntary/non-voluntary documents and the tariff sheet.
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 Don'ts. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on member's designated website: [www.pentad.in](http://www.pentad.in)

Client Signature **F6** \_\_\_\_\_

Client Name \_\_\_\_\_

## FOR OFFICE USE ONLY

UCC Code allotted to the Client: \_\_\_\_\_

Location of In-person verification: ☐ Our office ☐ Client's residence ☐ Client's office

Place/address of In-person verification : \_\_\_\_\_

	Documents verified with Originals by	Client Interviewed by	In-Person Verification done by
Name of the Employee / Sub Broker			
Employee Code / Sub Broker			
Designation of the employee			
Date			
Signature			

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

Signature of the Authorized Signatory \_\_\_\_\_

Date: 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Seal/Stamp of the Members \_\_\_\_\_

	Name of RM/AP/BP	RM/AP/BP Code
Referred By		
Sourced By		

## TRADING TARIFF DETAILS

Charge Head	Brokerage / Charge
Commodity Futures	
Commodity Options	
Minimum Brokerage	

## TERMS AND CONDITIONS

1. Account opening charges will be levied at Rs. 1000. and shall be non-refundable. GST will be levied additionally.
2. All statutory and exchange related charges ie. STT, SEBI Turnover fees, Exchange Transaction Charges, Stamp Duty (as applicable State wise), GST and any other Statutory / Regulator / Government will be levied over and above Brokerage opted.
3. PCPL is authorize to charge to client if any additional charges arrives in any given circumstance and conditions related to trading and thereafter inform the client.
4. Courier Charges will be levied on actual or Rs. 100 flat, whichever is higher on per delivery of document
5. Inter-settlement and/or Inter Exchange and/or Securities movement in collateral account and/or Members Pool and / or beneficiary account and any other transaction client behalf would be charged at Rs. 25 per transaction.
6. Delayed Payment Charges on debit balance will be debited to client's Trading ledger not exceeding 24% P.a.
7. In event of Cheque bounce, Rs. 250 on each instance will be levied to client.
8. Additional services provided to client like SMS facility etc., would be charged separately as decided by stock broker from time to time.
9. Changes in any charges other than statutory/Regulatory /Government will be intimated within 15 days of notice.

I/We have understood and agreed the above terms and conditions related to charges listed above being charged to me/us, as applicable and agree to abide by the same.

Client Signature **F7** \_\_\_\_\_

Client Name \_\_\_\_\_

Date

Place \_\_\_\_\_



## Non-Mandatory Section

### FATCA DECLARATION

Annexure to Account opening Form for Individuals containing information for reporting requirement under Section 285BA of the Income-tax Act, 1961 and KYC.

Background:

1. India has joined the Multilateral Competent Authority Agreement (MCAA) on Automatic Exchange of Financial Account Information (AEOI) on June 3, 2015 and has agreed to certain global standards on automatic exchange of information, known as Common Reporting Standards (CRS). Further, the Government of India (GoI) signed an Inter-Governmental Agreement (IGA) with United States of America (USA) on July 9, 2015 to improve international tax compliance and to implement Foreign Account Tax Compliance Act (FATCA) in India.
2. To implement the CRS on AEOI and also the IGA with USA, the GoI has made necessary amendments in Section 285BA of the Income-tax Act, 1961 and notified Rules 114F to 114H in the Income-tax Rules, 1962 vide amendment dated August 7, 2015. These Rules are available on: <http://www.incometaxindia.gov.in>.
3. SEBI has issued a circular dated August 26, 2015 advising all registered intermediaries to implement FATCA and CRS as per above mentioned Rules. We do understand that the information mentioned above is technical in nature and hence we advise you to consult your financial or tax advisor for more details.

Applicant's Name:

Form No:  Father's name:

PAN:  Place of Birth:  Country of Birth:

Gender: ☐ Male ☐ Female ☐ Others Nationality: ☐ Indian ☐ Other (Specify the name)

Occupation Type: ☐ Service ☐ Business ☐ Others ☐ Not Categorized

Address Type: ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Complete Address:

Country:  PIN

1. Declaration of Tax Residency / Citizenship Country of tax residence India ☐ Yes ☐ No.
2. Tax resident of Multiple Countries ☐ Yes ☐ No

If tax resident of multiple countries, kindly provide information of tax residence of all countries.

If Point 1 is Yes and Point 2 is No, no further information required to be provided.

If Point 1 is No OR if both Point 1 and 2 are Yes, then the following should be provided alongwith with documentary evidence:

Country/countries of tax residency	Tax Identification Number (TIN)/ functional equivalent number	TIN / functional equivalent Issuing Country	Documents provided (copy of certificate of tax residence or copy of TIN or others)	Date upto which the documentary evidence is valid
Remarks if any:				

#### Declaration and Undertakings

The Customer/account holder certifies that:

- a. The information provided in the Form is in accordance with Section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income-tax Rules, 1962.
- b. the information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise.
- c. I/We permit/authorise the Company to collect, store, communicate and process information relating to the Account and all transactions therein, by the Company and any of its affiliates wherever situated including sharing, transfer and disclosure between

them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.

- d. I / We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by us or if any certification becomes incorrect and to provide fresh self certification alongwith documentary evidence.
- e. I / We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and the Company would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GOI) / Reserve Bank of India for the purpose or take any other action as may be deemed appropriate by the Company if the deficiency is not remedied by us within the stipulated period.
- f. I / We hereby accept and acknowledge that the Company shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to the Company.
- g. It shall be my responsibility / our responsibilities to educate myself / ourselves and to comply at all times with all relevant laws relating to reporting under Section 285BA of the Act read with the Rules thereunder.
- h. I/We also agree to furnish such information and/or documents as the Company may require from time to time on account of any change in law either in India or abroad in the subject matter herein.
- i. I/We shall indemnify the Company for any loss that may arise to the Company on account of providing incorrect or incomplete information.

Client Signature **F8**

Client Name \_\_\_\_\_

#### UNDERTAKING FOR ACCEPTING ECN AND OTHER COMMUNICATION THROUGH EMAIL

To,  
M/s Pentad Commodities Private Limited  
33/2361 B4, 3rd Floor, Jacob's Building,  
Geethanjali Junction, Vyttila, Kochi 682019.

Sub: Request for Sending Contract Notes, transaction statement & other Account Related Documents & Statements on my email  
Reference: Trading Account client code number: \_\_\_\_\_

Dear Sir,

This is with reference to the Rights & Obligations for registering me/us as Client of Pentad commodities Private Limited (hereinafter referred to as PCPL or Member interchangeably). In this regard, I hereby authorize and request PCPL:

1. To send contract notes, bills, ledgers, transaction statement, report, letter, Circulars etc. in electronic form on my following Email ID in relation to trades/ transaction done on the exchanges through PCPL.

Email ID. \_\_\_\_\_

Further, I Confirm that aforesaid ECN and communication sent by Member from time to time to my / our email id shall be deem to have seen delivered to me and it shall be presumed that the same is in order unless any discrepancies are highlighted by me or brought to notice of PCPL in accordance with the rules/bye-laws/regulations of the exchanges/regulatory authorities. I/ we confirm that non-receipt of bounced mail notification by PCPL shall amount to delivery of the contract note at the above-mentioned email ID. I shall not hold PCPL responsible for any delay in delivery due to technical reasons. I agree that Log reports of dispatching software shall be conclusive proof/evidence of delivery.

2. To complete the necessary formalities those are required under the provisions of the Information Technology Act, 2000 for getting the above facility Further I confirm that:
3. In case I request to receive physical contract notes, bills, ledgers, transaction statement, report, Letter, Circulars, and any other documents in addition to the digital copy, then PCPL is authorized to debit the charges as decided by PCPL to my/ our trading account.
4. I acknowledge that Contract notes, bills, ledgers, transaction statement may also be kept for seven days on the web server of PCPL on www.pentad.in which can be downloaded by me/us through login id and password provided by PCPL to me/us.
5. The above service may require using password / digital signature and I/ we shall be responsible for confidentiality and proper use at all time of password and/or digital signature for all transactions initiated through aforesaid service.
6. I hereby declare that above mentioned email IDs are created and operated by me,
7. I confirm that any change in the aforesaid email address or any other instructions with regard to dispatch/ service of my/ our statement of account to me / us shall not be binding upon you unless you are intimated in writing by me/us

Yours faithfully

Client Signature **F9**

Client Name \_\_\_\_\_

## ELECTRONIC CONTRACT NOTE [ECN] DECLARATION

(VOLUNTARY)

To  
Pentad commodities Private Limited  
33/2361 B4, 3rd Floor, Jacob's Building,  
Geethanjali Junction, Vyttila, Kochi 682019.

Dear Sir,  
I/We \_\_\_\_\_ a client with member M/s Pentad Commodities Private Limited of MCX Exchange undertake 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 unless I myself want in the electronic from.
- ◆ I/We am/are aware that the Member had 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 received 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/We have access to a computer and am a regular internet user, having sufficient knowledge of handling email operations.
- ◆ My email id is\* \_\_\_\_\_  
This has been created by me and not by someone else.
- ◆ I/We am/are aware that this declaration form should be in English or in any other language known to me.
- ◆ 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.
- ◆ I/We am/are aware that this declaration will remain valid till it is revoked by me

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

\*(Own handwriting of the client must write the email id.)

Client Name		Client Code	
PAN	Address		

Client Signature **F10**

Client Name \_\_\_\_\_

Date

D

D

M

M

Y

Y

Y

Y

Place \_\_\_\_\_

---

Verification of the Client Signature Done By

Name of the designated officer of the Member

Signature

## GENERAL AUTHORITY

Client Name  Client Code

Pentad Commodities Private Limited  
33/2361 B4, 3rd Floor, Jacob's Building,  
Geethanjali Junction, Vyttila, Kochi 682019.

Dear Sir,

### Sub: Letter of Authority

I / We am / are dealing in commodity with you at Commodity Exchange and in order to facilitate ease of operations. I / We Authorize you as under:

1. 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 favor of bank and / or taking loan against the same of meeting margin / payin obligation on our behalf or for giving the same as margin to the commodity exchange otherwise.
2. I / We request you to consider my / our telephonic instructions for order placing / order modification / order cancellation as a return instruction and give me / us all the confirmation on telephone unless instructed otherwise in writing. I / We am / are agreed for getting required details from contract note issued by you.
3. I / We will completely rely on the log reports of your dispatching software as conclusive proof of dispatch of e-mail to me and will not dispute the same.
4. I / We will inform you the change in my / our email id either by telephonically/post/email.
5. Trading of commodity is an electronic mode, based on VSAT, leased line, ISDN, Modem, internet 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 not processing buy or sell orders either in part or full. I / We understands that you are not making any representation or warranty that your service will be available to the clients at all times without any interruption. I / We agree that I / We shall not have any claim for any loss incurred by me / us against you on account of any suspension, delay, interruption, non-availability or malfunctioning of your system or service for any reason whatsoever. I / We agree that I / We shall be fully liable and responsible for any such problems / glitch.
6. 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.
7. I / We shall abide by the rules, regulations / guidelines circulars of the exchange issue from time as applicable and shall be liable for non-adherence.
8. I / We agree that any loss due to any erroneous entry / erroneous order modification shall be entertained only to the extent of insurance claim received.
9. 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.
10. With reference to trading account opened with you for the purpose of dealing in commodities Derivatives segment of the Exchange. In case of default in daily margin or failure to fulfill in any additional margin requirement stipulated by you (including levied by the exchange) or if any outstanding debts occur in my / our account, I / We irrevocably authorize you to close out / liquidate whole or any part of my / our position without prejudice to your right to refer the matter to arbitration. Any or all losses and financial charges on account of such liquidation / closing out, etc shall be charged to and borne by me/us. If due to power failure, connectivity failure, circuit breakers, lack of market depth or any other reason, my / our open trade is not squared off on the same day, you may square off the same on subsequent trading session.

Thanking you,

Client Signature **F11** \_\_\_\_\_

Client Name \_\_\_\_\_

## VERBAL ORDER ACCEPTANCE AUTHORISATION

To,  
Pentad Commodities Private Limited  
33/2361 B4, 3rd Floor, Jacob's Building, Geethanjali Junction, Vyttila, Kochi 682019.

Dear sir,

I/ We am dealing with you as client at MCX/NCDEX/UCX/ACE/NMCE/ICEX/UCX in derivative segment. As my / our broker i.e agent I / We direct and authorize you to carry out trading/ dealing on my / our behalf as per instruction given below.

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

However as I /We shall be dealing by ordering over phone and even if we visit to the branch , the fluctuations in markets are so rapid the it is not practical to give written instruction for order placement/ modification and cancellation, I/ We hereby authorize you to accept my / our authorize representatives verbal instructions for order placement / modification and cancellation in person or over phone ( fixed line/mobile phone) and execute the same.

I / We understand the risk associated with verbal orders and accept the same and agree that I/We shall be liable for all losses, damages and actions which may arise as a consequences of your adhering to and carrying out my / our directions given above.

Thanking you,  
Yours faithfully

Client Signature **F12** \_\_\_\_\_

Client Name \_\_\_\_\_

## CLIENT INFORMATION SHARING

To,  
**Pentad commodities Private Limited**  
33/2361 B4, 3rd Floor, Jacob's Building,  
Geethanjali Junction, Vyttila, Kochi 682019.

Dear Sir,

Sub: Sharing of Data and Information

I/We have opened a trading account with PCPL having client code \_\_\_\_\_ and am /are interested in knowing about various financial products /facilities offered by your associate /group companies. I/We am/ are aware that the associate/group companies are required to obtain information about me/us and my/our transactions for providing various financial products /facilities/ services.

I/We hereby voluntarily accept and expressly authorize PCPL to get the information from any other depository participant with whom I/We have the Demat account and share/discard or use in any manner, the information/documents/data about me /us and our transactions, with group of associates companies which is offering the products/facilities.

I/We authorize you, your group of companies and associates to keep with us informed with any financial product which Pentad, its group companies and associates presently issue, deal in, or distribute or may, from time to time, launch issue, deal in or distribute through email, SMS, Telephone, print media or otherwise as may be allowed.

I/We have no objection to PCPL sharing the above information or any such other information about me/us with its group/associate companies or affiliates. This is without legal obligation on you, your group companies and to so inform and you or they may, in their discretion, discontinue sending such information.

Client Signature **F13** \_\_\_\_\_

Client Name \_\_\_\_\_

Date 

D	D	M	M	Y	Y		
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Place \_\_\_\_\_

## STANDING INSTRUCTION TO MAINTAIN RUNNING ACCOUNT (VOLUNTARY)

I / We request you to maintain my/our accounts for funds and commodities on running accounts basis instead of 'bill to bill' settlement basis, unless I/we specifically request you for a pay out of available free funds or commodities in the account. You may settle the accounts at ☐ Monthly ☐ Quarterly (If not selected, default option would be Quarterly) or at such other intervals as SEBI/Commodity Exchanges may specify from time to time. I / We further authorize you to retain commodities and/or funds as may be permitted by Commodity Exchanges/SEBI from time to time or towards other unbilled services and/or charges applicable on my account, while settling the accounts. I/We further authorize you to also retain an amount of up to Rs. 50,000/- (Fifty Thousand Only) or any other sum as may be permitted by SEBI / Stock Exchanges from time to time, while settling my / our account. I / We understand and agree that no interest will be payable on the amount of funds retained by you as above. I / We agree that PCPL shall not be liable for any claim for loss or loss of profit or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such commodities/funds. The standing instruction/authorization for maintaining my/our account as running account shall remain valid until revoked in writing, addressed to you.

Client Signature **F14** \_\_\_\_\_

Client Name \_\_\_\_\_

## CLIENT DECLARATION FORM

To  
Compliance Officer,  
Pentad Commodities Private Limited, 33/2361 B4, 3rd Floor, Jacob's Building, Geethanjali Junction, Vyttila, Kochi 682019.

1. I/We authorize you, your group of companies and associates to keep with us informed with any financial product which Pentad, its group companies and associates presently issue, deal in, or distribute or may, from time to time, launch issue, deal in or distribute through email, SMS, Telephone, print media or otherwise as may be allowed. I/We have no objection to PCPL sharing the above information or any such other information about me/us with its group/associate companies or affiliates. This is without legal obligation on you, your group companies and to so inform and you or they may, in their discretion, discontinue sending such information.
2. I/We hereby voluntarily accept and expressly authorize PCPL to get the information from any other depository participant with whom I/We have the Demat account and share/discard or use in any manner, the information/documents/data about me /us and our transactions, with group of associates companies which is offering the products/facilities.
3. I understand that there is a mismatch between my actual name (for which I have given relevant documents) and the name appearing on my PAN Card (copy of which is given to Pentad Commodities Pvt. Ltd. along with account opening form). With regards to the same, I undertake to state that I, \_\_\_\_\_ (as appeared in \_\_\_\_\_) and \_\_\_\_\_ (Name appearing on PAN card) am/are one & the same person and that I request PCPL to open my trading account in the name appearing as per my submitted PAN. I hereby also declare & assist that I have never indulged in any of the activity which comes under unfair trade practices and is declared as illegal, immoral and illicit under any law prevailing in India. I hereby also declare that I have an \_\_\_\_\_ passport and I have never been declared as a defaulter, Dodger, Insolvent, Fraudster, Hoaxer, Swindler, Imposter, Fakester, Perpetrator, Money launder, SEBI Debarred entity, Culprit, Criminal, Guilty of any crime, Expelled from any activity, UN sanctioned Individual, Al Qaeda list, accused in any crime/offence/misdeed/felony/misdemeanour /wrongdoing or any such similar act or activity by any of the Regulatory/Investigative/Government/ Quasi government/SRO/Law enforcement agencies and court in India and worldwide. I hereby declare that I deal/don't deal in foreign currency and all my source of Income is genuine and legitimate as per law prevailing in India.
4. I hereby also agree and confirm that everything stated above is true and correct. I will be solely responsible for any consequences arising out of the points stated above or in AOF or in any other supporting documents provided by me at the time of opening the account. I hereby agree to indemnify and keep PCPL indemnified at all times, from and against all costs, charges, damages, Penalties/fines, fees suffered and/or incurred by PCPL for any act done or omitted to be done based on above declaration & AOF data and documents.

I have been informed that the exchanges will send a confirmation SMS to me for activating this facility. I will do the needful in this regard. I also confirm that the above mobile no is not under DND category.  
In case of any change in the above details or if I wish to revoke this approval, I will inform you in writing.'

I have been informed that Pentad Commodities Private Limited being Member of Multi Commodity Exchange of India Limited (MCX) may engage in proprietary trading activity in the exchange traded commodities.

Client Signature **F15** \_\_\_\_\_

Client Name \_\_\_\_\_

**REGISTRATION FORM / SMS AND/OR EMAIL ALERTS**

To  
Compliance Officer,  
Pentad Commodities Private Limited, Kochi

**1. Self Declaration**

I/We have to activate the following service(s) on my/our account on my/our registered email id & mobile no. with the company.

- ☐ Accounts related alerts/information on my/our mobile phone number/s & email id registered with you
- ☐ Market related alerts/information & inform about new products on my/our mobile Nos. & e-mail id registered with you

I/We hereby confirm that I/we have taken cognizance of SEBI circular CIR/ MIRSD/15/2011 dated August 2, 2011 and related circulars issued by the Exchanges/ SEBI in this regard from time to time. We hereby confirm our mobile number and/or email address as stated in my KYC Form and / or such other mobile no. and/or email id intimated to the Company from time to time for the purpose of receipt of SMS/email alerts directly from the Exchanges (MCX)

- ☐ I want to receive transaction alerts in SMS as well as Email from MCX
- ☐ I want to receive transaction alerts only in SMS from MCX
- ☐ I want to receive transaction alerts only in Email from MCX
- ☐ I do not want to receive any transaction alerts from MCX

(Specify Reason)

**2. Family Declaration**

I and my family members hereby request that mobile number being \_\_\_\_\_ and email ID being \_\_\_\_\_, belonging to undersigned shall be considered in your records for the purpose of receiving communication from you or commodity Exchanges with regard to details of trading transactions executed through you in my account.

Thus, any communication relating to our trading and demat account should be sent to the above mentioned mobile number and e-mail ID. This facility shall be extended to us as an exception, for our convenience of receiving transaction details at a single mobile number and e-mail ID. I understand that for the purpose of availing the above facility "family" means self, spouse, dependent children and dependent parents.

SL. No.	Master Client name	Client Code	Relationship with Master Client	Signature

The above details shall be deemed valid till any change is requested under the modification process.

Client Signature **F16** \_\_\_\_\_

Client Name \_\_\_\_\_

**CLIENT ACKNOWLEDGMENT LETTER**

To,  
Compliance Officer,  
Pentad Commodities Private Limited, Kochi

Sub: Acknowledgment of Receipt of Copies of Documents of Trading A/c Opened for MCX

Dear Madam/Sir,

I/We, \_\_\_\_\_ (Name of Client), hereby acknowledge the receipt of the copy of the account opening Application Form executed by me for opening Trading Account in MCX with Pentad Commodities Private Limited. Further I have received a copy of the following.

- |   |  |
|---|--|
| 1. General Terms & Conditions of PCPL                               | 2. Rights and Obligations  |
| 3. Risk Disclosures Document  | 4. Document pursuant to the SEBI circular dated December 03,2009 |
| 5. Guidance Note and Do & don'ts                                    | 6. Pentad Commodities Tariff Sheet                               |
| 7. All other mandatory and voluntary client registration documents. |  |

I /we here by acknowledge the receipt of duly executed copy of KYC and all other documents as executed by me/us. Further I confirmed that the documents for KYC submitted by me are true and correct.

Client Signature **F17** \_\_\_\_\_

Client Name \_\_\_\_\_

Remarks