

Client Registration Form Commodities

Form No. _____

Version Oct-16



ASHLAR COMMODITIES PVT. LTD.



ASHLAR COMMODITIES PVT. LTD.

Member : MCX, NCDEX & ACE

FMC No.	Member ID
MCX - MCX/TCM/CORP/0264	40560
NCDEX- NCDEX/TCM/CORP/0977	01002
ACE -ACE/TCM/CORP/0224	6072

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.), Ph.: 0120-2472200, 6633200
Ph.: 0120-2472205 , Fax : 0120-6633222
E-mail : info@ashlarindia.com

Clearing Member in NCDEX & MCX:

GLOBE COMMODITIES LTD.

Registered Office :804, Ansal Bhawan,16 K.G Marg,Connaught Place, New Delhi-110001
Ph:011-30412345 Fax No. :011-41520276
(MCX)FMC Regn. No.:MCX/TCM/CORP/0628,Membership ID: CM-8550,TM10735
(NCDEX)FMC Regn. No.:NCDEX/TCM/CORP/0004,Membership ID: CO-03-00012

Compliance Officer

Neeraj Kumar

Ph.: 0120-2472229, 6633229
Email : compliance@ashlarindia.com

COO

PRADEEP GUPTA

Ph.: 0120-2472204, 6633204
Email : pradeep@ashlarindia.com

For any grievance/dispute please contact ASHLAR SECURITIES PRIVATE LIMITED at the above address or email info@ashlarindia.com/investorcell@ashlarindia.com and Phone No. +91-11-47464746. In case not satisfied with the response, please contact the concerned exchange(s) at (NSE) ignse@nse.co.in and Phone No. +91-22-26598190, (BSE) is@bseindia.com and Phone No. +91-22-22728097, (MCX-SX) investorcomplaints@msx-sx.com and Phone No. +91-22-67318933/9000 (USE) investorcomplaints@useindia.com and Phone No. +91-22-42444904, 42444932

Important Instructions:

(A)Fields marked with ‘*’ are mandatory fields.(B) Please fill the form (C)Please fill the form in English and in BLOCK letters. Please fill the date in DD-MM-YYYY format. (D)Please read section wise detailed guidelines / instructions at the end. (E)List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end. (F)List of two character ISO 3166 country codes is available at the end. (G)KYC number of applicant is mandatory for update application. (H)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 Application Type* New Update
 (To be filled by financial institution) KYC Number (Mandatory for KYC update request)
 Account Type* Normal Simplified (for low risk customers) Small

1. PERSONAL DETAILS

Name* (Same as ID proof) : SANDEEP KUMAR UPADHYAY
 Father / Spouse Name* : RAM SHARAN UPADHYAY
 Mother Name* : KUSUM
 Date of Birth* :
 Gender* : M- Male F- Female T-Transgender
 Marital Status* : Unmarried Married Others
 Citizenship* : IN- Indian Others (ISO 3166 Country Code)
 Residential Status* : Resident Individual Foreign National Non Resident Indian Person of Indian Origin
 Occupation Type* : S-ServiceO Public Sector OthersB Self Employed
 Private Sector Government Sector Professional Retired
 Housewife Student Business X- Not Categorised
 Politically Exposed Person (PEP): Related to Politically Exposed Person (RPEP):
 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
 Networth Amount Rs : Net Worth as on (Date) : (Net worth should not be older than 1 year) :

2. TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA

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

3. PROOF OF IDENTITY (PoI)*

(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)
 A- Passport_Number B- Passport Expiry Date
 Voter_ID_Card
 C- PAN Card
 D- Driving_Licence Driving_Licence Expiry Date
 E- UID (Aadhaar)
 F- NREGA Job Card
 Z- Others (any document notified by the central government) Identification Number
 S- Simplified Measures Account - Document Type code Identification Number

4. PROOF OF ADDRESS (PoA)*

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS

(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)
 Address Type* : Residential / Business Residential Business Registered Office Unspecified
 Proof of Address* : Passport Driving Licence Voter Identity Card NREGA Job Card UID (Aadhaar) PAN Card
 Simplified Measures Account - Document Type code Other
 Address
 Line1* :
 Line2 :
 Line3 : City / Town / Village* :
 District* : Pin / Post Code* : State / U.T Code* : ISO 3166 Country Code* :

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS *

Same as Current / Permanent / OverseasAddress details (In case of multiple correspondence / local addresses, please fill 'AnnexureA1')

Line1* :	WZ-195A				
Line2 :	WZ BLOCK				
Line3 :	VISHNU GARDEN	City / Town / Village* :	DELHI		
District* :	WEST DELHI	Pin / Post Code* :	110018	State / U.T Code* :	Delhi
				ISO 3166 Country Code* :	India

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

Same as Current / Permanent / OverseasAddress details Same as Correspondence / LocalAddress details

Line1* :					
Line2 :					
Line3 :		City / Town / Village* :			
District* :		Pin / Post Code* :		State / U.T Code* :	
				ISO 3166 Country Code* :	

5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Tel. (Off)		Tel. (Res)		Mobile	8527116112
FAX		Email Id	SANDEEPUPADHYAY82@HOTMAIL.COM		

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

Related PersonType*	<input type="checkbox"/> Guardian of Minor	<input type="checkbox"/> Assignee	<input type="checkbox"/> Authorized Representative
Name*			

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)

<input type="checkbox"/> A- Passport Number		<input type="checkbox"/> B- Passport Expiry Date	DD-MM-YYYY
<input checked="" type="checkbox"/> Voter ID Card			
<input type="checkbox"/> C- PAN Card			
<input type="checkbox"/> D- Driving Licence		<input type="checkbox"/> Driving Licence Expiry Date	DD-MM-YYYY
<input type="checkbox"/> E- UID (Aadhaar)			
<input type="checkbox"/> F- NREGA Job Card			
<input type="checkbox"/> Z- Others (any document notified by the central government)		Identification Number	
<input type="checkbox"/> S- Simplified Measures Account - Document Type code		Identification Number	

INCOME RANGE PER ANNUM (PLEASE TICK ANY ONE)

Below Rs. 1 Lac Rs. 1-5 Lac Rs. 5-10 Lac Rs 10-25 Lac More than Rs. 25

7. REMARKS (If any)

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8. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address

 Signature of Applicant
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Date :	DD/MM/YYYY	Place :	
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9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY

KYC VERIFICATION CARRIED OUT BY

Date :	DD/MM/YYYY
Emp. Name :	
Emp. Code Emp :	
Designation Emp.	
Branch :	

[Employee Signature]

Name :	
Code :	

[Institution Stamp]

KNOW YOUR CLIENT(KYC) APPLICATION FORM - FOR INDIVIDUAL

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.

IDENTITY DETAILS

Name of the Applicant : SANDEEP KUMAR UPADHYAY
 Father's / Husband's Name : RAM SHARAN UPADHYAY
 Gender : Male Female Marital status : Single Married Date of Birth : 15/07/1982
 Nationality : Indian
 Status : Resident Individual Non Resident Foreign National
 Permanent Account Number (PAN): AARPU2080M
 Aadhaar Number, if any: _____
 Specify Proof of Identity submitted : Pan Other (Please specify) _____

(S3)

ADDRESS DETAILS

Correspondence Address Residence Address
 Residence / Correspondence Address : _____
 Residence / Correspondence Address : WZ-195A WZ BLOCK VISHNU GARDEN
 City / Town / Village : DELHI Pincode : 110018
 State : Delhi Country : India
 Contact Details
 Tel. (Off.) _____ Fax : _____
 Tel. (Res.) _____ Mobile No. : 8527116112
 E-Mail Id SANDEEPUPADHYAY82@HOTMAIL.COM
 Specify the Proof of Address submitted for Residence / Correspondence Address: _____
 Permanent Address (If different from above, mandatory for Non-Resident Applicant to specify overseas address)
WZ-195A WZ BLOCK VISHNU GARDEN
 City / Town / Village : DELHI Pincode : 110018
 State : Delhi Country : India

OTHER DETAILS

Annual Income : Below Rs. 1 Lac Rs. 1-5 Lac Rs. 5-10 Lac Rs 10-25 Lac Rs. 25 Lac to 1 Crore
 Networth Amount Rs : _____ Net Worth as on (Date) : _____ (Net worth should not be older than 1 year) :

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 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: ASHLAR SECURITIES 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 : _____

Name & Signature of the Authorised Signatory

ANNEXURE 1 (PART II)

MANDATORY

TRADING ACCOUNT RELATED DETAIL

Please fill this form in ENGLISH and in BLOCK LETTERS.

For INDIVIDUALS

B. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank Account Number	Account Type	MICR Number	IFSC Code
HDFC BANK	B-6 VISHAL ENCLAVE, NEAR RAJA GARDEN NEW DELHI	9818116112	<input checked="" type="radio"/> Saving <input type="radio"/> Current <input type="radio"/> Others -in case of NRI /NRE / NRO	110240124	HDFC0000933

• 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)
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			

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

D. TRADING PREFERENCES

*Please sign in the relevant boxes with which Exchange 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.	NCDEX		<input type="checkbox"/> Client Signature
2.	MCX		<input type="checkbox"/> Client Signature
3.	ACE		<input type="checkbox"/> Client Signature

[In case of allowing a client for trading on any other Exchange at the 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]

INVESTMENT / TRADING EXPERIENCE

<input type="radio"/> No Prior Experience <input type="radio"/> Years in Commodities <input type="radio"/> Years in other investment related fields

F. SALES TAX REGISTRATION DETAILS (As applicable, State wise)

Local Sales Tax State Registration No.		Validity Date	
Name of the State			
Central Sales Tax Registration No.		Validity Date	
Other Sales Tax State Regn. No.		Validity Date	
Name of the State			

G. VAT DETAILS (As applicable, State wise)

Local VAT Registration No.		Validity Date	
Name of the State			
Other VAT Registration No.		Validity Date	
Name of the State			

H. PAST REGULATORY ACTIONS

Details of any action/proceedings initiated/pending/taken by FMC / SEBI / Stock Exchange / Commodity Exchange / Any other authority against the client during the last 3 years :

I. DEALING THROUGH OTHER MEMBERS

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

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

J. INTRODUCER DETAILS (optional)

Name of the introducer			
Status of the Introducer	<input type="radio"/> Authorised Person <input type="radio"/> Existing Client <input type="radio"/> Others _____		
Address and Phone No. of the Introducer			
		Sign. of the Introducer	

K. ADDITIONAL DETAILS

Whether you wish to receive communication from Member in electronic form on your Email-id.	<input type="radio"/> Yes <input type="radio"/> No (If yes then please fill in Appendix - A)
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NOMINATION DETAILS

<input type="radio"/> I/We wish to nominate		<input type="radio"/> I/We do not wish to nominate	
Name of the Nominee	POOJA		
Relationship with the Nominee	WIFE		
PAN of Nominee	ATSPPG	Date of Birth of Nominee	01/01/2017
Address and Phone No. of the Introducer	a-38 noida		
If Nominee is a minor, details of guardian			
Name of the Guardian			
Address and Phone No. of the Introducer			
Sign. of Guardian			

WITNESSES (Only applicable in case the account holder has made nomination)

Name		Name	
Signature		Signature	
Address		Address	

DECLARATION

- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any 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.
- I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non-mandatory documents.
- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Do's and Dont's'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on Member's designated website i.e. www.ashlarindia.com

Signature :

Date :

Place :

FOR OFFICE USE ONLY

UCC Code allotted to the Client : SANDEEP KUMAR UPADHYAY

	Document verified with Originals
Name of the Employee	SANDEEP KUMAR UPADHYAY
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, if any, for the information of the clients.

FOR ASHLAR COMMODITIES PVT. LTD.

Signature :

(Seal / Stamp of Ashlar Securities Pvt. Ltd.)



Date :

TARIFF SHEET

Brokerage Details

BROKERAGE		FIXED%	MINIMUM
Commodity Market	Jobbing		
	Delivery		

Note:

1. Transaction charges, Stamp Duty, Service Tax, Clearing Member Charges and all legal levies as may be applicable from time to time shall be charged separately in addition to the brokerage.
2. If any cost (Courier, DP charges etc.) is incurred on the behalf of client, same shall be recovered from the client's trading account on actual basis.
3. In case of overdue debit balance in client's account, member reserves the right to debit delay payment charge upto 2% p.m. to the client's account.
4. In case Diet ID has been provided to the client a ID Charge @ _____ % of turnover or Rs _____ /- per month per segment shall be charged extra 
5. . Charges/ service standards are subject to revision at sole discretion of Ashlar Commodities Pvt. Ltd.,
6. Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
7.  _____
Applicant Signature

BRANCH-IN-CHARGE	CLIENT	Received & Verified by	Activated by	Cross Verified by

INTIMATION BY THE MEMBER FOR PROPRIETARY TRADING

Dear Constituent

Under instruction of SEBI, Multi Commodity Exchange of India Ltd. (MCX) and National Commodity & Derivatives Exchange Limited (NCDEX) has directed all its members to inform their clients whether they engage in proprietary trading in this regards we wish to inform you that we do engage in proprietary trading in Commodity Derivative Segment of MCX and NCDEX.


Kindly take note of the above and oblige.

Thanking You

For Ashlar Commodities Private Limited

Authorised Signatory

I have read the above letter.

 _____
Applicant Signature

To,

ASHLAR COMMODITIES PVT. LTD.

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.)

Corp. Office : A-8, East Krishna Nagar, Delhi-110051

Dear Sir,

Sub : Letter of Authority - NSE/BSE/MSEI (All Segment)

I SANDEEP KUMAR UPADHYAY a client with member M/s. ASHLAR COMMODITIES PVT. LTD. of MCX, NCDEX & ACE Exchange undertake as follows:

- a. 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.
- b. I am aware that the member has to provide electronic contract note for my convenience on my request only.
- c. 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.
- d. I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operation.
- e. My email id is* SANDEEPUPADHYAY82@HOTMAIL.COM. This has been created by me and not by someone else.
- f. I am aware that this declaration form should be in English or in any other Indian language known to me.
- g. I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

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

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

Client Name : SANDEEP KUMAR UPADHYAY

Unique Client Code : _____

PAN: AARPU2080M

Address : WZ-195A WZ BLOCK VISHNU GARDEN

 Client Signature

Date : _____ Place: _____

Verification of the client signature done by,

Name of the designated officer of the Member _____

LETTER OF AUTHORITY

Dated :

Client Name : SANDEEP KUMAR UPADHYAY

ASHLAR COMMODITIES PVT. LTD.

Client Code :

Member : National Commodity & Derivatives Exchange Ltd. (NCDEX)

Member : Multi Commodity Exchange of India Ltd. (MCX)

Member : Ace Derivatives and Commodity Exchange Ltd. (ACE)

Regd. Office : A-38, Sector-67, Noida-201301

Corp. Office : A-8, East Krishna Nagar, Delhi-110051

Dear Sirs,

Subject : Letter of Authority

I / We am / are dealing in securities with you at Commodity and in order to facilities 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 any segment of the 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 be 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 stock 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 Stock 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 account and to use the idel fund towards our margin/future obligation of both the exchange unless I / We instant you otherwise.
6. I / We request you to retain/Commodity/Securities/warehouse receipt in your Demat account for my / our margin / future obligations at both the Exchanges, unless I / We instruct you to transfer the same to my / our account.
7. 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.
8. I / We will collect from your office contract notes, bills, securities, etc. as per my convenience.
9. I / We request that you may send/despatch my / our contract notes other documents through E-mail : on my designated e-mail address of SANDEEPUPADHYAY82@HOTMAIL.COM. I / We stress that I will not hold you responsible under any circumstances in the event of an e-mail which you send gets bounced due to any reason such as mail box being full, inactive account or due to any technical reason beyond your control.
10. 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.
11. I / We will inform you the change in my / our e-mail, if any, in future either by regd. post, hand delivery or through a digitally signed e-mail.
12. I / We confirm that I / We will not sublet the trading terminal on any term of connectivity from my / our place under any circumstances.
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 am/are aware that I/We may not opt for any of the above authorisation by striking off the same. Further, I/We am /are aware that above authorisation is voluntary on my/our part and that I/We can revoke this authorisation at my point of time during the operation of my/our trading account with you by giving you a notice in writing.

Thanking you,

Your faithfully,

 Client Signature

To,

ASHLAR COMMODITIES PVT. LTD.

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.)

Corp. Office : A-8, East Krishna Nagar, Delhi-110051

Dear Sir/Madam,

Subject : My / Our request for trading in commodity forward contracts / commodity derivatives on MCX / NCDEX / ACE as your client

I/We, the undersigned, have taken cognizance of circular no. MCX/338/2006 dated August 21, 2006 issued by the Multi Commodity Exchange of India Ltd. (MCX) and circular no. NCDEX/TRADING-114/2006/247 dated September 28, 2008 issued by the National Commodity & Derivatives Exchange Limited (NCDEX), circular no. ACE/T&C-004/20101007 dated October 26, 2010 issued by Ace Derivatives and Commodity Exchange Ltd. (ACE) on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same. I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by MCX / NCDEX / ACE or Forward Markets Commission and such position limits will be calculated in accordance with the contents of above stated circular of MCX / NCDEX / ACE as modified from time to time.

I/We undertake to inform you and keep you informed if any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/Trusts in which I or any of above such person is a partner/director/karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative on MCX / NCDEX / ACE through you or through any other member(s) of MCX / NCDEX / ACE, to enable you to restrict our position limit as prescribed by the above referred circular of MCX / NCDEX / ACE as modified from time to time. I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your clients on MCX / NCDEX / ACE only on the basis of our above assurances and undertaking.

Yours faithfully,

 Client Signature _____

Sole Proprietor/Partner/Director/Karta/Trustee

ADJUSTMENT IN DIFFERENT EXCHANGES / ACCOUNTS

Client Code : _____

Date: _____

Name : SANDEEP KUMAR UPADHYAY

Address of Client : WZ-195A WZ BLOCK VISHNU GARDEN

To,

The Manager Accounts

ASHLAR COMMODITIES PVT. LTD.

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.)

Corp. Office : A-8, East Krishna Nagar, Delhi-110051

Sub : Adjustment in different Exchanges / Accounts maintained with you

Dear Sir,

I/We executed/desire to execute an agreement with Ashlar Commodities Pvt. Ltd. for trading on the Multi Commodity Exchange of India Ltd. (MCX) and National Commodity & Derivatives Exchange Ltd. (NCDEX) and Ace Derivatives and Commodity Exchange Ltd. (ACE) in Commodity Market. In this regard, I/We hereby request you to treat the agreement between us whether in NCDEX or MCX, as coextensive and I/We hereby authorize you to transfer, make adjustments and/or to set off a part or whole of the securities / Commodities placed as margin and/or any surplus funds in any of my account/(s) maintained with you i.e. either in NCDEX, MCX or ACE against the outstanding dues payable if any, by me/us in any of my/our account/(s) maintained with Ashlar Commodities Pvt. Ltd. or vice versa, notwithstanding anything contrary contained in the agreement between us. Ashlar Commodities Pvt. Ltd. shall have right of lien on the credit balance in any of my/our accounts. Any entries passed by you in accordance with this authorization shall be binding on me/us.

Thanking You,

Yours Faithfully,

 Client Signature _____

To,

ASHLAR COMMODITIES PVT. LTD.

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.)

Corp. Office : A-8, East Krishna Nagar, Delhi-110051

Dear Sir/Madam,

I/We SANDEEP KUMAR UPADHYAY, a Client with Ashlar Commodities Pvt. Ltd. of MCX (40560) / NCDEX (01002) / ICEX (1312) / ACE (6072) undertake as follows ;

1. I/We are aware the Multi Commodity Exchange (MCX) / National Commodity & Derivatives Exchange Limited (NCDEX) / Ace Derivative and Commodity Exchange Limited (ACE) provides the details of the trades executed on its trading platform to the concerned clients / constituents through SMS and/or E-mail alerts.
2. I/We are aware that the Exchange has to provide the trade details through SMS and/or Email alerts for my convenience at my request only.
3. I/We hereby provide and confirm my/our mobile number and /or email address as stated below for the purpose of receipt of SMS and/or email alerts.

I/We hereby confirm that I/We wish to receive the trade alerts through :

Preferred mode of Alert	Please tick (✓) against appropriate option
Only SMS	
Only E-mail	
SMS and E-mail	
No alerts at all (Please specify reason)	

The alerts should be sent on

a. Mobile Number : 8527116112

(enter 10 digit mobile no.)

b. Email Address : SANDEEPUPADHYAY82@HOTMAIL.COM

I/We hereby agree to the terms and condition specified by the Exchange vide circular No. MCX/T&S/165/2012 dated April 26, 2012/ NCDEX/COMPLIANCE-007/2012/093 dated March 19, 2012/ ACE/MEM-003/2012/046 dated April 2, 2012 and circulars / clarifications issued by the Exchange from time to time in this regard. I/We are also aware that this is an additional facility provided by the Exchange and we shall not rely or use such data for any purpose and, Exchange shall not be liable for any direct or indirect loss of any purpose and, Exchange shall not be liable for any direct or indirect loss of any nature because of providing this additional facility. I/We am/are aware that the receipt of SMS/Email alerts on the above mobile number and/or email address can be stopped only on our/my written request.

Client Name : SANDEEP KUMAR UPADHYAY



(Client Signature)

Unique Client Code : _____

PAN : AARPU2080M

MOBILE DECLARATION

I SANDEEP KUMAR UPADHYAY having Pan No. RAM SHARAN UPADHYAY do hereby declare that my mobile no. is 8527116112 Further, I authorize ASHLAR COMMODITIES PVT. LTD. that the same maybe used for giving me any information/alert/sms/call.

I understand that SMS ALERT is a service given only to registered clients of ASHLAR SECURITIES PVT. LTD. & ASHLAR COMMODITIES PVT. LTD.with the sole intention to aid their information means.

The recommendation made therein do not constitute an offer to sell or a solicitation to buy any of the securities /commodities mentioned SMS. Readers using the information contained in SMS are solely responsible for their actions. The information and views contained in SMS are believed to be reliable but no responsibility or liability is accepted for errors of act or opinion by ASHLAR SECURITIES PVT. LTD. and ASHLAR COMMODITIES PVT. LTD. Analysts may or may not have trading or investment positions in securities mentioned in SMS Tips.

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

 Name of Client : SANDEEP KUMAR UPADHYAY Client Code : _____
(Client Signature)

Date : _____

UNDERTAKING TO ACT IN OWN CAPACITY

I/We do hereby solemnly affirm and declare as under :

1. That my/our registration with ASHLAR COMMODITIES PVT. LTD. (ACPL) is in individual capacity and is for transacting on my/our own account. And that no one expect myself/ourself has/have and interest in the account with ACPL.
2. That I/We shall not be acting further as an intermediary / sub-broker in any manner whatsoever for the transactions executed in any segment of any commodity exchange(s) in my/our account with ACPL.
3. That I/We further state that if anybody on my/our behalf makes claim of any amounts / securities on account of the transactions in my/our account, the said act shall be null and void and shall be ineffective from all corners.
4. In case ACPL finds that I/We am/are as an un-registered Sub-broker, ACPL can immediately cancel my/our account with them and adjust all credit against my/our liabilities.
5. That I/We shall inform ACPL any of my/our registration in any capacity with any other member of the exchange(s) to transact on the same segment as at ACPL.
6. I/We shall not make any payment to ACPL drawn on the account of any third party whether related to me/us or not. All payments to my/our above A/c shall be from accounts that stand in my/our own name.
7. I/We shall not make any cash payment to ACPL nor shall I/We insist on any sales person/business associate to accept cash in lieu of cheque/demand draft. I/We understand that ACPL does not accept cash from clients and therefore any cash payment made by me/us to any staff shall be at my/our sole risk and I/We absolve ACPL of all liability and claim that may arise from any cash payment made by me/us.
8. I/We understand that cash and third party payment of any kind are prohibited under rules of Exchange if despite this I/We make any cash/third party payment in my/our trading A/c or to any sales person / business associate I/We shall render myself liable to criminal / civil action from ACPL. I/We shall also indemnify ACPL from all claims, loss, liability that incur on account of any cash/third party payment made by me/us in my/our trading account with ACPL.
9. I/We have been made understood by ACPL that it does not permit any of Its employee to place any discretionary orders in the account of any client therefore I/We must not authorise any of ACPL's staff member to place any discretionary order under any circumstances in my / our trading account and that ACPL limits its liability in the event of I/we giving any such authorisation to any of the Employee of ACPL.
10. I/We hereby absolve ACPL from all liability claims that arise from bonafide mistake typing errors etc. that occur in ordinary and regular course of business I/We shall not initiate any legal action without first intimating in writing my grievance to the Corporate Office at Delhi.

 Name of Client : SANDEEP KUMAR UPADHYAY Client Code : _____
(Client Signature)

DECLARATION, INDEMNITY CUM UNDERTAKING FOR NAME DISCREPANCY IN PAN CARD, BANK PROOF & ADDRESS PROOF

ASHLAR COMMODITIES PVT. LTD.

Date :

Regd. Office : A-38, Sector-67, Noida-201301

Corp. Office : A-8, East Krishna Nagar, Delhi-110051

I SANDEEP KUMAR UPADHYAY s/o, w/o, d/o RAM SHARAN UPADHYAY

, refer to my Trading Account

with Ashlar Commodities Pvt. Ltd. (ACPL) do hereby affirm, declare and undertake that

1. That my name as it appear on my trading account is _____
2. That my name as it appears on my demat account is _____
3. That my name as it appears on the Income Tax website is _____
4. That my name as it appears on the Address proof is _____
5. That my name as it appears on my Pan Card is _____
6. That my name as it appears on the Bank Proof is _____
7. That above mentioned names, on Trading account, Demat account, Tax website, Address proof, PAN Card No. AARPU2080M and Bank account bearing no. 9818116112 are mine alone.
8. That I hereby request ASPL to maintain my name in Demat and Trading account as per the name appearing on the website / PAN card.
9. That I promise and undertake to get my PAN card altered in accordance with my name as appearing on the Income tax within 45 days from the date of signing this undertaking. ASPL may, at its sold discretion, terminate my trading and demat account in the event of me not getting my name altered within 45 days of signing this undertaking.
10. That I further undertake to open a bank account in accordance with the name as appearing on the Income Tax website week from the date of signing this undertaking.
11. I further undertake that in case my name has been changed after approval from government authorities and notification gazette. I shall get the name change effected in PAN, Bank account etc. and furnish immediately to ASPL.
12. That I further declare that I am responsible and I shall indemnify & keep indemnified ASPL, its directors, officers, employees, agents from and against any and all losses, claims, liabilities, obligations, damages, deficiencies, judgements, action proceedings arising out or in relation to corporate benefits, IPO refund, Foreign Exchange Management Act (FEMA) transfer, dematerialization of securities, rematerialization of securities, dividends, interest etc., that may arise out Declaration-cumundertaking and/or acting on this basis

That the contents of this declaration, Indemnity-cum-undertaking have been explained to me in vernacular and I have understood before signing it. That this declaration, Indemnity-cum-undertaking given by me to ASPL is by my absolute free will and coercion, undue influence, pressure etc., and at present I am having sound health and mind.

Client E-mail ID : SANDEEPUPADHYAY82@HOTMAIL.COM



(Client Signature)

Mobile No. : 8527116112