

TRADING SEGMENT ACTIVATION FORM



To,
Religare Broking Limited
 Club 125 (Tower A) A-3,4 & 5, Sector- 125, Noida-201301 (U.P.)

SEBI Registration No. and Date:

SEBI Regn No. INZ000174330-May 03, 2018 | **NSE CM, F&O, CD, TM Code:** 06537 Clearing Member (F&O) No. M50235 | **BSE CM, F&O, CD, Commodity Derivatives Clearing** No: 3004 | **MCX Commodity Derivatives TCM Code:** 56560 | **NCDEX Commodity Derivatives TCM Code:** 01276 | **AMFI ARN No.** 139809 | **NSDL:** DP ID: IN 301774 | SEBI Regn. No: IN-DP-385-2018 | CDSL DP ID: 30200 | SEBI Regn. No: IN-DP-385-2018 – October 16, 2018

Sub: Modification in the Common details/additional details mentioned in the KYC.

- I/we _____ having PAN Number _____ registered with you as a client with client code _____ wish to modify/add Trading Preference and or activate segment to those mentioned by me/us in the KYC forms submitted to you at the time of my enrolment or at any time there after.
- I wish to add/activate the following segments in my trading account:

Segments	Exchanges	Signature of the Client	Signature of the Client
Cash / MFSS / BSE StAR MF	NSE		
	BSE		
F&O	NSE		
	BSE		
Currency Derivatives & Interest Rate Futures	NSE		
	BSE		
Commodity Derivative	BSE		
Commodity Future	NCDEX		
	MCX		
Commodity Options	NCDEX		
	MCX		

- This letter is in addition to the authorization/preference given earlier by me/us to you modifying my trading preferences.
- I/We understand that the brokerage applied to my accounting any of the new segments/new exchanges, will remain the same as currently offered to me in my trading account for that segments incase of any changes, brokerage specified below to be charged in the specified segment -

BROKERAGE (Subject to Change)

Equity Cash Segment (NSE/BSE)

Brokerage	in%(Subject to Max. of 2.5%)	Minimum Paise (Subject to Max. 25 paise)	One Side/BothSide
Delivery Based			
Daily Square up			

Equity Derivatives Segment (NSE/BSE)

Brokerage	in%(subject to Max. 2.5%/ ₹100/- per Lot)	Minimum Paise/Per Lot	One Side/BothSide
Future			
Option			

Currency Derivatives & Interest Rate Futures Segment (NSE/BSE)

Brokerage	Brokerage per Lot (in₹)	One Side/BothSide
Future		
Option		

Client Signature:

Commodity Derivatives Segment (BSE/MCX/NCDEX)

BROKERAGE SLAB:			
Exchange and Segment	Brokerage Slab in %	Minimum Paise/ Per Lot	<input type="checkbox"/> One Side <input type="checkbox"/> Both Side
BSE, MCX and NCDEX - Future			
Exchange and Segment	in % (subject to max. 2.5% of premium amount or Rs.250/- per lot, whichever is higher)	Minimum Paise/ Per Lot	<input type="checkbox"/> One Side <input type="checkbox"/> Both Side
MCX-Option			
Exchange and Segment	in % (subject to max. 2.5% of premium amount or Rs.100/- per lot, whichever is higher)	Minimum Paise/ Per Lot	<input type="checkbox"/> One Side <input type="checkbox"/> Both Side
NCDEX-Option			

Note:

If client already running under any margin/upfront plan, the derivative brokerage for client will be as per the running margin/upfront plan only. if present brokerage is applied on both side then brokerage on currency derivative can't be charged one side.

Capital Market:- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. 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 website : www.religareonline.com

I/We here by 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 there in immediately.

Commodity Derivative:- I have read and understood and received the documents containing Rights and Obligation of Member, Authorized Persons and Clients as prescribed by SEBI and Commodity Exchanges, Risk Disclosure Document, Additional Risk Disclosure Document for options trading and Guidance Note- Do's AND Don'ts for the clients, Policies & Procedure Document

I understand that the Member-Client relationship document executed RBL client if any is construed as an relationship document for respective Segment of Exchange opted above.

Client Signature:



ADDITIONAL INFORMATION RELATED TO TRADING ACCOUNT

Father's / Husband Name		
Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married	Date of Birth DD/MM/YYYY
Gross Annual Income Details (please specify)	Income Range per annum <input type="checkbox"/> Below ₹1 Lac <input type="checkbox"/> ₹1-5 Lac <input type="checkbox"/> ₹5-10 Lac <input type="checkbox"/> ₹10-25 Lac <input type="checkbox"/> More than ₹25 Lac OR Net-worth Amount (₹).....As on (date) DD/MM/YYYY (Net worth should not be older than 1 year)	
Occupation (Please Specify)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others..... -----	
Category (Please Specify)	<input type="checkbox"/> Farmers/FPOs <input type="checkbox"/> Value chain participants (VCPs) <input type="checkbox"/> Proprietary traders <input type="checkbox"/> Domestic financial institutional investors <input type="checkbox"/> Foreign participants <input type="checkbox"/> Others Note: If you have ticked category except "Others", please fill the declaration for commodities given on Appendix A.	
G.S.T. Registration Detail (Optional)	GST Registration Number <input type="text"/>	State <input type="text"/>

List of financial documents acceptable (any one) for trading in Derivative segments:

INDIVIDUAL CLIENT (Please tick, whichever provided)	CORPORATE CLIENT (Please tick, whichever provided)
Copy of ITR Acknowledgement (for last financial year) <input type="checkbox"/>	Copy of Annual Accounts (for last two years) <input type="checkbox"/>
In case of salary income – Salary slip, copy of Form 16 (last FY) <input type="checkbox"/>	Net Worth Certificate (Certified by CA) (Net worth should not be older than 1 year) <input type="checkbox"/>
Any other relevant documents substantiating ownership of assets <input type="checkbox"/>	Copy of ITR Acknowledgement (for last financial year) <input type="checkbox"/>
Bank account statement for last 6 months <input type="checkbox"/>	Copy of demat account holding statement (not older than 3 months) <input type="checkbox"/>
Copy of demat account holding statement (not older than 3 months) <input type="checkbox"/>	

*** Board Resolution: Mandatory for Corporate clients**

Client Signature: 

For Office use only			
	Employee Name	Employee ID	Signature
Currency segment RM			
Currency segment Dealer			
Commodity segment RM			
Commodity segment Dealer			

Religare Broking Limited

Club 125 (Tower A) A-3,4 & 5, Sector- 125, Noida-201301 (U.P.)

Subject: Categorization of the clients for each commodity

I/We have been/shall be dealing through you as my/ our member broker on different Commodity Exchanges. I/We hereby declare my/ our category for the commodities mentioned therein, as given below in accordance with SEBI circular no. SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 dated January 04, 2019:

CATEGORIES							
Sr. N.	Name of Commodities	Farmer / FPO	Value chain participant (VCP)	Domestic financial institutional investor	Foreign participant	Proprietary trader	Others
1	BARLEY						
2	CHANA						
3	MAIZE						
4	WHEAT						
5	MOONG						
6	PADDY (BASMATI)						
7	KAPAS / COTTON						
8	BLACK PEPPER						
9	CARDAMOM						
10	CASTOR SEED						
11	GAUR SEED 10 MT						
12	GAUR GUM						
13	SOY BEAN						
14	MUSTARD SEED						
15	CRUDE PALM OIL						
16	MENTHA OIL						
17	RBD PALMOLEIN						
18	REFINED SOY OIL						
19	COTTON SEED OILCAKE						
20	SUGAR M						
21	TURMERIC						
22	JEERA						
23	CORIANDER						
24	CRUDE OIL						
25	NATURAL GAS						
26	ALUMINIUM						
27	BRASS						
28	COPPER						
29	LEAD						
30	NICKEL						
31	ZINC						
32	GOLD						
33	SILVER						

I/We further declare that in case declaration is not provided for any of the particular exchange traded commodity, please consider the "Others" category for the same. I/We undertake that I/we shall inform the member broker in case there is any change in category for any of the exchange traded commodity.

Client Signature

Date

Client Name

Client Code

CATEGORIES

- **Farmers/FPOs:** It includes participants such as farmers, farmers' cooperatives, Farmers Producers Organisations (FPOs) and such entities of like nature.
- **Value chain participants (VCPs):** It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Producers, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs.
- **Proprietary traders:** It includes the members of stock exchanges trading in their proprietary account.
- **Domestic financial institutional investors:** It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives.
- **Foreign participants:** It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets.
- **Others:** All other participants which cannot be classified in the above categories.

To,
Religare Broking Limited
 Club 125 (Tower A) A-3,4 & 5, Sector- 125, Noida-201301 (U.P.)

Dear Sir,

I, _____ a client with Member M/s. Religare Broking Limited of National Commodity & Derivatives Exchange Limited (NCDEX) and Multi Commodity Exchange of India Ltd (MCX) undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is* _____
This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other language known to me.
- 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. I will inform the member of any change in E-mail Id.

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

Client Name	_____	PAN	_____
Unique Client Code	_____		_____
Address	_____		

Client Signature: 

Verification of the client signature done by,
 Name of the designated officer of the Member _____

Signature: 

RUNNING ACCOUNT AUTHORISATION: In order to avoid time consuming repeated pay-in by me/us and pay – out by you of funds and securities I/we hereby direct and authorise you to maintain running account(s) and debit/credit securities/commodities and funds from/to the running accounts and make pay-in/receive securities/commodities and funds to/from exchanges/clearing corporations/other receiving parties (if applicable). Further, subject to your discretion and valuation please treat my/our securities/commodities and funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/trading. In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/commodities/funds towards such obligations along with funds and/or securities/commodities expected to be required to meet margin obligations for next 5 trading days. In case, I/we have traded during my/our chosen settlement period, you may retain upto the maximum amount as permissible within in regulatory provisions duly netting off across all stock/commodities exchanges and their segments. Authorisation is subject to changes as prescribed by the exchange(s)/SEBI from time to time. While settling the account, please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the register of securities displaying all receipts/deliveries/commodities of funds/securities/commodities. In the statement(s) being sent, please provide details regarding retention of funds/securities/commodities and pledge, if any. I/We shall bring any discrepancy in the statement(s) preferably within 7 working days from the date of receipt to your notice so as to allow you to take remedial steps, if any are warranted. Please do not carry out above stated settlement of running account in the event I/We avail margin trading facility. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR). I/We am/are entitled to revoke this Authorisation at any time. My/Our preference for actual settlement of funds, securities and commodities is at least :

Once in a Calendar Quarter

Once in a Calendar Month

Client Signature:



Religare Broking Limited

Club 125 (Tower A)
A-3,4 & 5, Sector- 125, Noida
Uttar Pradesh - 201301

To be filled and submitted by clients holding COMTRACK account to the Member by clients.

1.	Name of Client																									
2.	Client Address																									
	City/Town/Village																			PIN Code						
	State							Country																		
3.	PAN No.																									
4.	Bank Details (other than as mentioned in Annexure 1 Part II):																									
	Bank Name																									
	Branch Address																									
	City/Town/Village																			PIN Code						
	State							Country																		
	Bank Account No.																									
	Bank Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others																								
	MICR Number													IFSC Code												
5.	Name of Trading Member																									
6.	Trading Member ID																									
7.	COMTRACK Details of Client :																									
	Sr. No	COMTRACK Participant Name	COMTRACK Participant ID	COMTRACK Account No. of Beneficiary																						
	1.																									
	2.																									
	3.																									
	4.																									

DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I/We undertake to inform you of any change therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting. I am/we are aware that I/We may be held liable for it.



Signature of Client

NOTE

1. Please provide a certified copy of COMTRACK master or a recent COMTRACK holding statement issued by a COMTRACK Participant bearing name of Client.
2. In case the client has multiple COMTRACK account, Please provide proof and details of the same.
3. In case of PAN provide certified copy of PAN.
4. In case of Bank account provide copy of cancelled cheque as proof for all the bank account details provided.