

Date: ___/___/___

Ref.: Trading Code: _____

To,
KYC Department, 4th Floor,
Marwadi Shares and Finance Ltd.
"Marwadi Financial Plaza",
Nanamava Main Road, Off 150 Feet Ring Road,
Rajkot - 360001

Dear Sir / Madam,

Sub: Modification in the Common details/ additional details mentioned in the KYC/Segment addition request

1. I / We _____ registered with you as a client and wish to modify/add Trading Preference mentioned by me/us in the KYC forms submitted to you at the time of my/our enrolment or at any time thereafter.

2. In addition to my/our existing segments, I/we wish to trade in: (Write segment in your own handwriting and sign against each segment)

MCX	Client sign
NCDEX	Client sign
ICEX	Client sign

3. This letter is in addition to the authorization/preference given earlier by me/us to you modifying my/our trading preferences.

4. I/We understand that the brokerage charged to me/us for the above new segment(s)/ new exchange(s) respective segment(s) will be same as per existing brokerage charges for existing segment(s) of respective exchange(s).

5. 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 Marwadi Shares and Finance Ltd. designated website <http://marwadionline.com/>.

Please enable me/us to deal/trade on MCX, NCDEX and ICEX on aforesaid Segment(s).

Thanking you,

Name of Client: _____

Signature of Client :

(In case of Non-individual clients, affix relevant Company Stamp and Signed by authorized signatories- The Modification letter should be signed in the same order as it has been signed in the original KYC)

ATTACHMENTS:

1. For Segment addition Income Proof
2. KRA Form duly completed and signed, if required.
3. Self attested and verified with original copy of PAN and address proof, if required.

Version: 02|0817

GENERAL AUTHORITY

TO,

Marwadi Shares and Finance Limited
 'Marwadi Financial Plaza', Nana Mava Main Road,
 Off. 150 Feet Ring Road, Rajkot - 360 001.

Date:

Client Code

Member:

MCX/NCDEX/ICEX

These additional clause(s)/documentation(s) are voluntary and at the discretion of the stock broker/ trading member and the client. The same are required in order to ensure running on a day to day basis between the stock broker/ trading member and the client. The client need not execute this document if he/she does not wish to. The client has the right to terminate the document. Any such clause introduced shall stand null and void if they dilute the responsibility of the stock broker or is in conflict with any of the clauses in the mandatory documents, Rules, Bye-laws, Regulations, Notices, Guidelines and Circulars issued by SEBI and the stock exchanges from time to time.

AUTHORITY TO RETAIN FUND AS RUNNING ACCOUNT

Authority to retain Fund towards Margin in Commodity Derivatives segment/s.

1. I/We have made application with requisite documents to you to open trading account for execution of trades on my/our behalf as per instruction given by me/us from time to time in Commodity Derivatives segments of various stock exchanges like Multi Commodity Exchange of India Ltd. (MCX) and /or National Commodity and Derivatives Exchange Ltd. (NCDEX) and / or Indian Commodity Exchange Ltd. (ICEX). (hereinafter called as "the Stock Exchange(s)") as my/our broker.
2. For the purpose of operational convenience, I/we hereby give my/our consent to maintain my/our account for the funds on running account basis. I/We understand that consequent to your execution of my/our secondary market trades, I/we have either to pay/receive funds depending upon my/our securities transactions. In the event I/we have to receive funds from you on declaration of pay-out of funds by the Stock Exchanges, Clearing Corporations etc., I/we hereby authorize you to retain the funds and securities, as the case may be, with you as margin towards my/our ongoing secondary market transactions from time to time in Commodity Derivatives segments of any or all of the Stock Exchange®, unless, I/we issue specific / oral instruction for making payment of funds due to me/us, after adjusting any dues, margin obligations etc. Further I/We hereby authorize you to deliver the fund so held for my/our subsequent pay-in obligations. I/We do not want you to make payments of funds to me/us on settlement-to-settlement basis.
3. The credit balance account may be adjusted against any debit in subsequent/previous settlement of any segment of any exchange, I/we also request you to consider my credit balance in my/our account as margin money. I/We further authorize you to inter transfer, adjust balance, pass journal voucher for my/our cash margin, payout of funds, my/our running ledger balance, between various segments of various exchanges in my/our various accounts held with you and vice-a-versa. I/We hereby willfully issue standing instructions for transfer of credit/debit balance from Market to Market/Premium Account to Margin Account vice-a-versa. I/We hereby authorize you to withhold my/our fund pay-out (if any) towards margin and open interest, as and when warranted and similarly debit my/our account with you for fresh Mark to Market differences, Margin etc. on daily basis, if required.
4. I/we authorize you to debit my/our account for all necessary charges in respect of transfer of funds and securities from your account to meet my/our pay-in obligations or for transferring such fund and securities into my/our bank account or demat account respectively, as per my/our specific instruction.
5. I/we hereby agree and undertake that in case of any failure on my/our part to meet pay-in/margin or any other liability, merely on your demand, you shall have the right to realize the same from my/our credits, securities, collaterals, balances, margin, deposits or all such other balances lying with you.
6. I/we have noted the procedure of revocation of the this authorization is by submitting a physical letter to your registered office or in any manner as specified by Exchanges/ SEBI from time to time.
7. I/we authorize you to actually settle my/our account with you once in a calendar ~~month~~ quarter or such other higher period as allowed by SEBI/Stock Exchange® from time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.

Signature of Applicant

 X

8. In case I/we have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchange) and as per the rules, regulation and bye-laws of the exchange®.
9. I/We confirm you that I/we will bring to your notice any dispute arising from the statements of account or settlements so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
10. Unless I/we withdraw this authorization, I/We hereby authorize you to continue to maintain my/our account for the funds on running account basis or such longer period as the governing authority may specify, from the date of this authorisation.

Signature of Applicant

 X

Note: Strike off whichever is not applicable/acceptable to you.

AUTHORITY TO RETAIN SECURITIES AS RUNNING ACCOUNT (Pool Account)

1. I/We am/are dealing through you vide above said code on various stock exchanges. Due to exigency and paucity of time it will be inconvenient for me/us to follow the regular process of execution and submission of the required delivery instructions often and again within stipulated time to meet the pay-in, margin obligation etc...
2. I/We hereby unconditionally authorize you to hold the securities received against my/our various payout with you, for security, margin, future pay-in etc, unless, I/We issue specific/oral instruction for transferring the securities into my/our demat account as recorded in the client registration form, after adjusting any dues, margin obligations etc. Further I/We hereby authorize you to deliver the securities so held for my/our subsequent pay-in obligations.
3. I/We further authorize you to pledge the securities in favour of Clearing Corporation, stock exchange(s) etc. for margin and /or pay in purposes, if so required.
4. I/we have noted the procedure of revocation of the this authorization is by submitting a physical letter to your registered office or in any manner as specified by Exchanges/SEBI from time to time.
5. You are also requested to debit my/our account for all necessary charges in respect of transfer of securities from your account to meet my/our pay-in obligations or for transferring such securities into my/our demat account as per my/our request.
6. I/We hereby undertake to indemnify any claims, damage or any loss arising out of this request of mine/us and accepted in good faith by your organization.

Unless I/we withdraw this authorization, I/We hereby authorize you to continue to maintain my/our account for the securities on running account basis or such longer period as the governing authority may specify, from the date of this authorisation.

Signature of Applicant

 X

Date: _____

To,
Marwadi Commodity Broker Pvt. Ltd.
Marwadi Shares & Finance Ltd.
Marwadi Financial Plaza,
Nana Mava Main Road,
Rajkot-360001

With reference to my / our application for opening a commodity trading account, I/we acknowledge the receipt of and have read and understood the copies of the documents, as below:

1. RIGHTS AND OBLIGATIONS OF MEMBERS, AUTHORIZED PERSONS AND CLIENTS
2. RISK DISCLOSURE DOCUMENTS
3. Do's AND Don'ts
4. POLICY AND PROCEDURES
5. KYC (ACCOUNT OPENING FORM AND ATTACHMENTS)

Sign: _____

(Client Name: _____)

VOLUNTARY
Electronic Contract Note [ECN] — DECLARATION

Appendix A

To,
Marwadi Shares & Finance Ltd.
Marwadi Financial Plaza,
Nana Mava Main Road,
Off: 150 Feet Ring Road,
Rajkot – 360 001

Dear Sir,

I/We, _____ a client with Member M/s. Marwadi Shares and Finance Ltd. of NCDEX, MCX, and ICEX undertake as below:

- I/We am/are aware that the Member has to provide physical contract note in respect of all the trades placed by me/us unless I/we myself/ourselves want the same in the electronic form.
- I/We am/are aware that the Member has to provide electronic contract note for my/our convenience on my/our request only.
- Though the Member is required to deliver physical contract note, I/we find that it is inconvenient for me/us to receive physical contract notes. Therefore, I/we am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me/us.
- I/We have access to a computer and am/are a regular internet user, having sufficient knowledge of handling the email operations
-

Mobile No. : _____ I/We hereby declare that above mentioned Mobile Number belongs to <input type="checkbox"/> Me <input type="checkbox"/> My Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent	E-Mail Id : _____ I/We hereby declare that above mentioned E-Mail id belongs to <input type="checkbox"/> Me <input type="checkbox"/> My Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent
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- I/We am/are aware that this declaration form should be in English or in any other language known to me/us.
- I/We am/are aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above email ID.

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

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

Client Name: _____	Verification of the client signature done by,
Unique Client Code _____	Name of the designated officer of the Member
PAN: _____	Name: _____
Address: _____	Signature: _____
_____	Date: _____
Signature of the client: _____	
Date: _____	Place: _____

Consent to Receive DOCUMENTS via E-MAIL

To,
Marwadi Shares and Finance Limited
Marwadi Commodity Broker Pvt. Ltd.
Nana Mava Main Road, Off. 150 Feet Ring Road,
Rajkot – 360001

Client Code : _____

DP A/c No.: _____

Dear Sir/Madam,

This is with reference to my/our application for opening of beneficiary account and/or trading account with Marwadi Shares and Finance Limited/ Marwadi Commodity Broker Pvt. Ltd.

I/we hereby give my/our consent to Marwadi Shares and Finance Limited/Marwadi Commodity Broker Pvt. Ltd. to send the documents listed below to me/us via e-mail as mentioned in my/our KYC form.

- a. Rights & Obligations of Stock Broker, Sub-broker and client for trading on exchanges (including additional rights and obligations in case of internet/wireless technology based trading)
- b. Rights & Obligations of beneficial owner and depository participant as prescribed by SEBI and depositories.
- c. Uniform Risk Disclosure Documents (for all segment/exchanges)
- d. Guidance Note detailing Do's and Don'ts for trading on stock exchanges.
- e. Copy of executed KYC form and supporting documents.

I/We also understand that all the above documents (a to e) are also available on website: www.marwadionline.com.

Name(s) of holder(s)		Signature(s)
Sole/First Holder Guardian (in case of minor) (Mr./Ms.)		X
Second Holder (Mr./Ms.)		X
Third Holder (Mr./Ms.)		X

To,
Marwadi Commodity Broker Pvt. Ltd. &
Marwadi Shares and Finance Limited

Client Code: _____

Client Name: _____

Ref: Self Declaration Letter.

Pursuant to SEBI circular SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 dated 04th January, 2019, I/we declare and confirm that I/we fall under following categories for my/our trades on various commodity exchanges like MCX, NCDEX, ICEX, NSE, BSE etc.- commodity wise;

(Fill Category Code for Each Commodity Type in the blank columns; In case, you are not dealing in any commodity type, then write N.A):

A) BULLION:

Gold	Silver	Diamond

B) BASE METAL

Copper	Zink	Aluminum	Nickle

Lead	Steel	Brass

C) ENERGY

Crude Oil	Natural Gas

Category	Category Code
FPOs/ Farmers	1
Value Chain Participants/ Hedgers	2
Proprietary traders	3
Domestic financial institutional investors	4
Foreign participants	5
Others	6

D) Agriculture Commodities

Guar Gum	Kapas	Castor	Soya Bean	Maize Rabi	Black Pepper	Guar Seed	Cardamom

Cotton	Chana	Barly	Coriander	Jeera	Cotton seed oilcake	Copra	Jute

Palm	Moong	Paddy	Sugar	RDB Palmoil	Turmeric	Refined Soy Oil	Isabgul Seed	Jute Sack

Pepper	Rubber	Wheat	Mustard Seed	Maize Kharif / South	Crude Palm Oil	29mm Cotton	Mentha oil	RAPE SEED

I 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 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/we may be held liable for it.

Client Signature: _____