NERL

INDIRA Gateway to Prosperity

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| **S.No.** | **Name of the Document** | **Brief Significance of the Document** | **Page No.** |
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Membership No., SEBI Registration No. & Date : **CIN - U67120MH1996PTC160201**

| Exchange | Membership No. | SEBI Registration No. & Date |
|---|---|---|
| **NSE** | 12866 | INZ000188930 / 01.08.2018 |
| **BSE** | 663 | INZ000188930 / 01.08.2018 |
| **CDSL** | 17000 | IN - DP - CDSL - 90 - 2015 / 03.07.2015 |
| **MCX** | 56470 | INZ000188930 / 01.08.2018 |
| **NCDEX** | 01277 | INZ000188930 / 01.08.2018 |

Clearing Member for Currency Derivatives: ICICI Bank Limited (M. No. 4). **GSTIN : 23AADCI2772F1ZW**

Registered office address: **"Indira House" 5 Topiwala Lane, Lamington Road, Grant Road (East), Mumbai - 400007**

Phone : **022-66224202-204** Fax : **022-66224200** Website: **www.indiratrade.com**

Correspondence office address : **204,205, Amardarshan Building, 28/2 Old Palasia, Indore - 452018 (M.P)**

Phone : **0731-4797170-71-72-73** Fax : **0731-2562117** Website: **www.indiratrade.com**

Compliance officer name, Phone No. & email id : **Jyoti Singh - 0731-4797151 compliance@indiratrade.com**

Director Name, Phone No. & email id : **Sanjay C. Baxi - 022-66224220 sanjaybaxi@yahoo.co.in**

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| DP TARIFF SCHEDULE | | | |
|---|---|---|---|
| **SCHEMES** | **AMC Based** | On Sale Through POA | 0.010% (Min Rs. 10) |
| Legal Documentation Charges | Nil | KRA Charges | Rs. 40/-Per Pan No. |
| Power of Attorney | Rs 130/- | Demat Charges | Rs. 5/- Per Certificate + Rs.35/- Courier Charge for per DRN. |
| Individual & HUF AMC | Rs 400/- | Remat Charges | Rs 50/- Per RRN |
| Corporate | Rs 1200/- | Pledge Creation | Rs 50/- Per PSN. or 0.02% Whichever is higher |
| Transaction | Rs 20/- or 0.020% or Negotiable | Pledge Closure | Rs 50/- Per Closure |
| On Purchase | NIL | Book Charges | Rs 20/- |
| Pledge creation & closure confirmation | NIL | Fail Instruction charges | Rs. 25/- Per Instruction |
| Special Scheme - Deposit Rs. 3000/- (Refundable at the time of closing of A/c.) for life time AMC. | | | |

1. Fees Schedule are based on existing CDSL charges and may be changed at our discretion & will be informed before 30 days of implementation. 2. DRF would be accepted against up front payment. 3. Rejection of DRF will be charged at Rs. 35 of Registry only. 4. Service Tax and other levis would be extra as applicable.

| | | |
|---|---|---|
| **Demat Schemes (AMC):** | **Standard** ☐ **/ Other** ☐ **/ Rs. 3000** ☐ **/ Rs. 1500** ☐ **/ BSDA** ☐ | |
| **Account Opening Fee:** | **Standard** ☐ **/ Other** ☐ | |
| **A/c Type:** | **Direct** ☐ **/ Auth. Person** ☐ | |
| **RM/REM Code** | | **RM Name** |

| RP TARIFF SCHEDULE | | | |
|---|---|---|---|
| **SR. NO.** | **CATEGORY** | **TARIFF (Rs. Per MT or Part thereof)** | **TARIFF (Rs. Per Quintal or Part thereof)** |
| 1 | Legal Deocuement Charge | NIL | |
| 2 | Power of Attorney | N.A. | |
| 3 | A/c. Op. of Individual & HUF AMC | 400/- Yearly | |
| 4 | A/c. Op. of Corporate AMC | 1200/- Yearly | |
| 5 | Transaction on Market | Rs. 20/- per MT or Negotiable | Rs. 2/- per Quintal or Negotiable |
| 6 | Transaction Off Market | Rs. 100/- per MT or Negotiable | Rs. 10/- per Quintal or Negotiable |
| 7 | Transaction On Purchase | Nil | |
| 8 | Pledge Creation | Rs. 50/- per PSN. or Negotiale | |
| 9 | Pledge confirmation | NIL | |
| 10 | De-pledge | Rs. 20/- per MT or Negotiable | Rs. 2/- per Quintal or Negotiable |
| 11 | Invocation | NIL | |
| 12 | KRA Charges | Rs. 40/- Per PAN | |
| 13 | Deposit | Rs. 20/- Per MT or Negotiable | Rs. 2/- per Quintal or Negotiable |
| 14 | Withdrawal | Rs. 20/- per MT or Negotiable | Rs. 2/- per Quintal or Negotiable |
| 15 | Custody | Rs. 10/- per MT/month of Negotiable | Rs. 1/- per Quintal/month or Negotiable |
| 16 | Extension of validity | Rs. 20/-per MT/month of Negotiable | Rs. 2/- per Quintal/month or Negotiable |
| 17 | Conversion | Rs. 20/- per MT/month or Negotiable | Rs. 2/- per Quintal/month or Negotiable |
| 18 | Book Charges | NIL | |
| 19 | Fall Instruction Charges | Rs. 20/- | |
| 20 | Special Scheme - 1. Deposit Rs. 3000/- (without GST) Refundable at the time of closing of A/c) for Life Time AMC for individual Only. 2. Deposit Rs. 1500/- with GST (Non Refundable) for Life Time AMC for Individual Only. | | |

| FORM No.* | | REQUEST DATE* | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|

(To be filled by the applicant in **BLOCK LETTERS** in English)
We request you to open a commodity account in my/our name as per following details:-

1 ☑ _____

Date: _____
(dd / mm/ yy)

INDIRA
Gateway to Prosperity

# CKYC & KRA KYC Form

CERSAI

**Know Your Client Application Form (For Individuals only)**
(Please fill the form in English and in BLOCK Letters)
Fields marked with '*' are mandatory fields

Application Type* ☐ New ☐ Update KYC Number* [ ]
KYC Type* ☐ Normal (PAN is mandatory) ☐ PAN Exempt Investors (Refer instruction K)

## 1. Identity Details (Please refer instruction **A** at the end)

PAN [ ] Please enclose a duly attested copy of your PAN Card

| | Prefix | First Name | Middle Name | Last Name |
|---|---|---|---|---|
| Name* (same as ID proof) | | | | |
| Maiden Name (If any*) | | | | |
| Father / Spouse Name* | | | | |
| Mother Name* | | | | |

Date of Birth* D D – M M – Y Y Y Y

**Photo**

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

Citizenship* ☐ IN- Indian ☐ Others – Country _____ Country Code [ ]

Residential Status* ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin

Occupation Type* ☐ S-Service ☐ Private Sector ☐ Public Sector ☐ Government Sector ☐ O-Others ☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student ☐ B-Business ☐ X-Not Categorised

Signature/ Thumb Impression
2 ☑ _____

## 2. Proof of Identity (PoI)* (for PAN exempt Investor or if PAN card copy not provided) (Please refer instruction C & K at the end)

*(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)*

☐ A- Passport Number [ ] Passport Expiry Date D D – M M – Y Y Y Y
☐ B- Voter ID Card [ ]
☐ D- Driving Licence [ ] Driving Licence Expiry Date D D – M M – Y Y Y Y
☐ E- Aadhaar Card [ ]
☐ F- NREGA Job Card [ ]
☐ Z- Others (any document notified by the central government) [ ] Identification Number [ ]

## 3. Proof of Address (PoA)*

☐ 3.1 Current / Permanent / Overseas Address Details (Please see instruction D at the end)

**Address**

Line 1* [ ]
Line 2 [ ]
Line 3 [ ] City / Town / Village* [ ]
District* [ ] Zip / Post Code* [ ] State/UT Code [ ] as per Indian Motor Vehicle Act, 1988
State/UT* [ ] Country* [ ] Country Code [ ] as per ISO 3166

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

*(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)*

Proof of Address*
☐ Passport Number [ ] Passport Expiry Date D D – M M – Y Y Y Y
☐ Voter ID Card [ ]
☐ Driving Licence [ ] Driving Licence Expiry Date D D – M M – Y Y Y Y
☐ Aadhaar Card [ ]
☐ NREGA Job Card [ ]
☐ Others (any document notified by the central government) [ ] Identification Number [ ]

☐ 3.2 Correspondence / Local Address Details* (Please see instruction E at the end) ☑ Tick if same as current address

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1', Submit relevant documentary proof)

Line 1* [ ]
Line 2 [ ]
Line 3 [ ] City / Town / Village* [ ]
District* [ ] Zip / Post Code* [ ] State/UT Code [ ] as per Indian Motor Vehicle Act, 1988
State/UT* [ ] Country* [ ] Country Code [ ] as per ISO 3166

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**4. Contact Details** (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction **F** at the end)

Mobile – Tel. (Off) – Tel. (Res) –

Email ID

**5. Specify the proof of address submitted for permanent address Please Tick ( ✓ )**

☐ Passport ☐ Ration Card ☐ Registratered 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

***Not more than 3 Months old. Validity / Expire date of proof of address submitted**

d d / m m / y y y y

**6. Details of Related Person** (Optional) (please refer instruction G at the end) (in case of additional related persons, please fill 'Annexure B1')

☐ Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details of section 6 are optional)

☐ Proof of Identity [PoI] of Related Person* (Please see instruction (**H**) at the end)

*(Certified copy of <u>any one</u> of the following Proof of Identity[PoI] needs to be submitted)*

☐ A- Passport Number Passport Expiry Date d d – m m – y y y y

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date d d – m m – y y y y

☐ E- Aadhaar Card

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government) Identification Number

**7. Remarks (If any)**

**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 declare that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date: d d – m m – y y y y Place :

[Signature / Thumb Impression]

3 ☑ _____

Signature / Thumb Impression of Applicant

**9. Attestation / For Office Use Only**

**Documents Received** ☐ Certified Copies

1100017000

**KYC Verification Carried Out by** *(Refer Instruction I)*

Date d d – m m – y y y y

Emp. Name

Emp. Code

Emp. Designation

[Employee Signature]

**In-Person Verification (IPV) Carried Out by** *(Refer Instruction J)*

Date d d – m m – y y y y

Emp. Name

Emp. Code

Emp. Designation

[Employee Signature]

**Institution Details**

Name INDIRA SECURITIESPRIVATE LIMITED

Code I N 1 8 7 4

Emp. Branch

Indira Securities Private Limited Indore (M.P.)

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

**A. IMPORTANT POINTS:**

1. Self attested copy of AADHAR cards is mandatory for all individual clients.
2. Copies of all the documents submitted by the applicant should be self –attested and accompanied by originals for verifications. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. Non –resident and foreign nationals, (Not allowed to open Repository account as per WDRA guideline.)
8. In case of Merchant Navy NRI'S Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
9. Minor, (Not allowed to open Repository account as per WDRA guideline.)
10. Politically Exposed Person (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g. Heads of States or of Governments, Seniors politicians, Senior Government/Judicial/Military officers, senior executives of the state owned corporations, important political party officials etc.

**B. PROOF OF IDENTITY (POI): List of documents admissible as proof of identity:**

1. PAN card with photograph .This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique identification Number (UID) (Aadhar)/Passport/Voter ID card/Driving license.
3. Identity card/documents with applicant's photo, issued by any of the following: Central/State Government and its department , Statutory /Regulatory Authorities, Public sector undertakings, Scheduled commercial bank, Public Financial institutions, College affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, bar council etc .., to their members and credit cards/Debits cards issued by Banks.

**C. PROOF OF ADDRESS (POA): List of documents admissible as proof of address: (*Documents having an expiry date should be valid on the date of submission.)**

1. Passport/Voters Identity Card/Ration Card /registered lease or sale agreement of residence /Driving License/Flat maintenance bill/Insurance copy.
2. Utility bills like Telephone Bill (Only land line), Electricity bill or Gas Bill –Not more than 3 months old.
3. Bank Account Statement /passbook –Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following Bank managers of Scheduled Commercial Banks/Scheduled Co operative Bank/Multinational Banks/Gazetted Office/Notary public/Elected representative to the Legislative assembly/Parliament/Documents issued by Govt. or Statutory Authority.
6. Identity Card/documents with address, issued by any of the following: Central/State government and its departments, Statutory /Regulatory Authorities Public sector undertakings, Scheduled Commercial Banks, Public Financial Institutions, and Colleges affiliated to universities and Professional Bodies such as ICAI, ICWAI, ICSI Bar council etc. to their members.
7. The proof of address in the name of the Spouse may be accepted.

**D. EXEMPTIONS/CLARIFICATIONS TO PAN**

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

1. In case of transactions undertaken on behalf of central Government and/or State Government by Officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities /multilateral agencies exempt from paying taxes/filling tax returns in India.
4. SIP of Mutual Funds up to Rs 50,000/-p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled commercial Banks, Multilateral and Bilateral development financial institutions, state industrial development corporations, insurance companies registered with IRDA and public Financial Institutions as defined under section 4A of the companied Act, 1956. Custodians shall verify the pan card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

**E. LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENTS:**

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial /Co –operative Bank or Multinational Banks (Name, Designation & Seal Should be fixed on the copy).

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**KINDLY FILL IN BLOCK LETTERS.**

**Application No:**
(To be filled by RP)

**Farmer** ☐ **Individual** ☐

| | |
|---|---|
| BENIFICIARY ID | |
| RP NAME | |
| RP ID | |
| RP BRANCH | |

**SMS ALERTS (Tick one)** YES ☐ NO ☐ Mobile No.

**E-MAIL ALERTS (Tick one)** YES ☐ NO ☐ E-mail ID

**ALLOW PLEDGING (Tick one)** YES ☐ NO ☐ Alternate No.

**MODE OF OPERATION (Singly)** ☐ Aadhar No.

OTP & Transaction Alers will be sent to the Mobile No. & E-mail address mentiond above.

## BANK ACCOUNT(S) DETAILS

| | | | | |
|---|---|---|---|---|
| Bank Name | | | | |
| Branch Address | | CITY | | PIN |
| Bank Account No. | | | | |
| Type: | Saving ☐ | Current ☐ | Overdraft ☐ | |
| MICR Number | | | IFSC Code | |

Note: 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.

**DELIVERY INSTRUCTION SLIP**

FROM _____ TO _____

## BENEFICIARY DETAILS

**DOCUMENT TYPE** _____ **DOCUMENT NO.** _____

**PAN NUMBER:** **GST NUMBER:**

## NAME & ADDRESS DETAILS

**NAME**

**OCCUPATION:**

Business ☐ Professional ☐

Salaried ☐ Farmer ☐

Other ☐

If Other, please mention: _____

**SOURCE OF INCOME:**

Business ☐ Capital gain ☐

Property ☐ Profession ☐

Salary ☐ Other ☐

If Other, please mention: _____

**GROSS ANNUAL INCOME**

< 1 Lac ☐ 1 - 5 Lac ☐

5 - 10 Lac ☐ > 10 Lac ☐

**FOR FARMERS ONLY**

LAND RECORD: _____
(7/12 extract, Pattadhar, PANI No. etc.)

VILLAGE: _____

ACREAGE: _____
Upto 3 decimal places

OTHER DOCUMENTS: _____

DOCUMENT NO.: _____

## PAST REGULATORY ACTION/S

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

_____

## DECLARATION

- ✓ I declare that the particulars given by me above are true and to the best of my knowledge as on the date of making this application. I further agree that any false / misleading information given by me or suppression of any material information will render my account liable for termination and suitable action
- ✓ I further confirm having read and understood the contents of the Rights and Obligations of Client and Repository Participant including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws & Business Rules of NERL as are in force from time to time.

Place: _____

Date ☐☐☐☐☐☐☐☐

_____

**Signature of Client (As per ID/Address proof)**

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## IN PERSON VERIFICATION

FOR OFFICE USE ONLY

**APPLICATION NUMBER:** | | | | | | | | | | | | |

**BENEFICIARY ID:** | | | | | | | | | | | | | | | |

**DOCUMENT VERIFIED**

Yes ☐ No ☐

---

I / We undertake that we have made the client aware of tariff sheet. I/We have also made the client aware & given/ sent him a copy of Rights and Obligations of Client and Repository Participant including the schedules thereto. I/We undertake that any change in the tariff sheet would be duly intimated to the clients.

| | |
|---|---|
| **EMPLOYEE NAME** | Indira Securities Private Limited Indore (M.P.)<br>For: Indira Securities Pvt. Ltd<br>Signature of the Authorised Signatory |
| **EMPLOYEE CODE** | |
| **DESIGNATION:** | Signature |

Date | | | | | | | | |

---(Please Tear Here)---

## ACKNOWLEDGEMENT RECEIPT

**APPLICATION NUMBER:** | | | | | | | | | | | | |

We hereby acknowledge the receipt of KYC & Account opening Application of:

**CLIENT NAME** | | | | | | | | | | | | | | |

## Rights and Obligations of Client and Repository Participant

**Rights & Obligations of Client**

1. The Client agrees to pay such charges as set out in **Schedule A** hereto, to the Repository Participant for the purpose of opening and maintaining his Repository Account, for carrying out the instructions of the Client and for rendering such other services as may be agreed to from time to time between the Repository Participant and the Client in respect of his/its Repository Account. The Repository Participant reserves the right to revise the charges anytime by giving not less than thirty days' notice in writing to the Client. In case the Client fails to make the payment of any of the amounts as aforesaid, within a period of thirty days from the date of demand or the immediate succeeding billing date whichever is earlier, the Repository Participant shall have the right to discontinue the services after giving two days' notice to the Client, till such time the Client makes the payment along with interest, if any. The Client further agrees that in the event of the Client committing such default in payment, the Repository Participant will -charge interest at the rate of not more than 24% p.a. for the period of such default without prejudice to its right to suspend operations in the Repository Account or close the Repository Account of the Client.

2. Upon opening of the Repository Account as requested, the Client shall have the right to get the credit of those of its commodities physically deposited by it with and received by the Warehouse, duly recorded and credited in electronic form in its Repository Account. Provided however that such credit in the electronic Repository Account shall be subject to acceptance of the commodities by the Warehouse for credit to the Repository Account in the manner and as may be specified by the Authority or Repository as valid deposit for storage and delivery. The Client further understands and agrees that the record of electronic balance of commodities is the net balance after debit and credit of electronic Warehouse Receipts issued by the Warehouseman and that it shall be entitled to hold such Warehouse receipts in electronic form only till the Validity Date as assigned by the assayer approved for the purpose or such other date as may be specified by the Authority or Repository and that the Client shall not be entitled to deal with such warehouse receipt except under circumstances and in the manner prescribed by the Authority.

3. The Client understands and agrees that the electronic credit in the Repository Account pursuant to deposit of the underlying physical commodity at the Warehouse concerned or as a consequence of transfer, is only a record of deposit and entitlement therefor and that the Repository Participant and Repository are mere facilitators of such Repository Account keeping while the liability in respect of the actual commodity/ies stored in the Warehouse is that of the Warehouseman or the client as the case may be. The Client further understands and agrees that once electronic credit of commodities is transferred from its Repository Account, the Client is not entitled to receive or deal with the corresponding commodities and that the right to receive the commodities and deal therein shall then rest with the respective transferee/s of the electronic credit except in cases of frauds/erroneous transfers subject to being reported and rectified immediately after detection.

4. The Client undertakes and agrees that during the period of validity of the Warehouse receipt, notwithstanding the liability of the Warehouseman under the WDR Act, 2007 and the Rules and Regulations issued thereunder, the client shall always be responsible for compliance of such laws as may be applicable to the commodities dealt by the client including but not limited to the compliance of Food Safety Standards and GST or such other tax laws as may be applicable to the commodity dealt with by the client and the regulations and prohibitions with respect to the stock limits as prescribed by the Central/State Government as may be applicable from time to time. The clients undertakes and agrees to indemnify and keep indemnified the Repository and Repository Participant against any consequential claims or damages that may arise due to non-compliance on part of the Client.

5. The Client agrees that the Repository or the Repository Participant shall be entitled to freeze or disable the transfer of electronic balances as reflected in the Repository Account of the Client completely or partially as may be deemed appropriate by the Repository Participant or the Repository for any reason or circumstances which in the opinion of Repository, the freezing of Repository Account is warranted. Such opinion of the Repository shall be final, conclusive and binding on the Client.

6. The Client also agrees and undertakes that it shall not hold the Repository Participant or the or the Repository responsible and/or liable for any deterioration or deviation in quality or in quantity of the actual commodity deposited in the Warehouse and will not have any claim for the same from or against the Repository Participant or the Repository.

7. The client agrees that transfer of balances to and from other Repositories may be delayed due to reasons beyond the control of Repository and the client does not hold the Repository responsible for the same.

8. The Client agrees to pay to the Repository Participant fees and charges with respect to the electronic holdings as reflected in its Repository Account such as warehouse charges, assaying charges and such other charges as may be notified by the Repository or the Warehouse at such rates as may be prescribed subject however, that any such charges recoverable against any bill, if remain unpaid by the Client for a period of more than 15 days from the date of receipt of the bill, the Repository Participant shall be entitled to suspend all transactions in the Repository account of the Client till the time of recovery of all outstanding charges with prescribed interest if any. The Client further authorizes Repository Participant to forward the charges so collected to the respective entity such as the Warehouse Service Provider, the Commodity Exchange, Repository Service Provider and any other entity involved in the process as the case may be, as per directives of the of the Repository.

9. On the failure of the Client to pay any of the accrued charges as agreed herein within the stipulated period, the Repository Participant shall

without prejudice to its right to legal remedies, be entitled to close the Repository Account of the Client by requiring it to specify whether the balances in its Repository Account be transferred to the Repository Account of the Client held with another Repository Participant or be processed for withdrawal in the manner prescribed.

10. The Client agrees that the Repository Participant may refuse to carry out any transaction in the event of any directive from the Repository restricting such transaction including seeking freezing of the Client's Repository Account, or in accordance with any procedure laid down by the Repository warranting such freezing at a given time or on any event.

11. The Client shall notify the Repository Participant within seven days from the date of any change in the details set out in the application form submitted to the Repository Participant at the time of opening the Repository Account or furnished to the Repository Participant from time to time.

12. The Client shall immediately within three days, inform the Repository participant about any change in its constitution involving change in control of management, and shall execute all such necessary documents as may be required by the Repository Participant in that regard.

13. The Client shall not have any claim against the Repository Participant or the Repository on account of any suspension, interruption, non-availability or malfunctioning of the of Repository System or Service or non-execution of his orders due to any link/system failure or for any reason beyond the control of the Repository Participant or the Repository.

14. The client shall keep the Repository and Repository Participant indemnified at all times with respect to any claims/losses/damages that may accrue /arise to the Repository and Repository Participant on account of malfeasance or misrepresentation or fraud

**Rights & Obligations of Repository Participant**

15. The Repository Participant undertakes that it shall not create or permit to subsist any mortgage, charge or other encumbrance over the electronic balance of the Client except on the instructions of the Client.

16. The Repository Participant shall maintain a separate Repository Account for holding its own commodities in electronic form.

17. The Repository Participant undertakes that a transfer to and from the Repository Accounts of the Client shall be made only on the basis of an order, instruction, direction or mandate duly authorized by the Client in the manner prescribed and/or in accordance with and subject to the Bye-laws and Business rules, notifications or directives of the Repository and that the Repository Participant shall maintain adequate audit trail of such transactions.

18. The Repository Participant undertakes to provide a transaction statement including statement of accounts, if any, to the Client at such intervals as may be agreed between the Client and the Repository Participant or as may be required by the Repository or the Exchange, as the case may be.

19. The Repository Participant shall have the right to terminate its services, for any reasons whatsoever, provided the Repository Participant has given a notice in writing of not less than thirty days to the Client as well as to the Repository. Similarly, the Client shall have the right to close his Repository Account held with the Repository Participant, provided no charges or dues are payable/remaining to be paid by him to the Repository Participant and provided that any encumbrance if subsisting, has been fully satisfied and discharged. In the event of closure of its Repository Account, the Client shall specify whether the balances in its Repository Account should be transferred to any other Repository Account of the Client held with another Repository Participant or to withdraw the commodity that is represented through the electronic balances in its Repository Account. Based on the instructions of the Client, the Repository Participant shall initiate the procedure for transferring such electronic balances or process for withdrawal of such electronic balances as per the procedure laid down in the Bye Laws, Rules or Regulations and guidelines of the Repository or as per the process prescribed by the Repository. Provided further, the termination of this agreement shall not affect the accrued rights, liabilities and obligations of either party and shall continue to bind the parties till their satisfactory completion.

20. The Repository Participant undertakes to resolve all legitimate grievances of the Client against the Repository Participant within a period of thirty days. In the event of non-resolution of the grievance within the time specified as aforesaid, the parties agree to submit the same for resolution by arbitration as provided in the Bye-laws and the Business Rules of the Repository as amended from time to time.

**Signature***

NERL

# CM - TM Trading A/c. - Client Repository Id Map

(To be filled in duplicate)

INDIRA Gateway to Prosperity

Application Number

| |
|---|
| Repository Participant Name |
| Address |
| PIN |

| | |
|---|---|
| R P I D | |
| Client ID | |

**Account Holder's Details:**

| |
|---|
| Name of First/Sole Holder |

**Mapping Details:** **(Please Tick)**

| | | | |
|---|---|---|---|
| Exchange Code | | Pro Account | Client Account |

| | |
|---|---|
| Clearing Member ID (CMID) | Trading Member id (TM id) |
| Client Repository A/c. No. | Trading Client ID |

| | Authorized Signatory I | Authorized Signatory II | Authorized Signatory III |
|---|---|---|---|
| Name | | | |
| Signature | | | |

| | | | | | |
|---|---|---|---|---|---|
| Internal ref. No. | | Signature Verified By | | Transaction Entered By | |

Date

Indira Securities Private Limited Indore (M.P.)

For: Indira Securities Pvt. Ltd

Signature of the Authorised Signatory

---(Please Tear Here)---

## Acknowledgement Receipt

| |
|---|
| Application No. |

We hereby acknowledge the receipt your instruction for CM - TM Trading A/c. - Client Repository Id Map.

| |
|---|
| Name of the Client |
| Client Repository A/c. No. |

| | | | |
|---|---|---|---|
| Employee Name | | Designation | |
| Employee Code | | Signature | |

Date

Indira Securities Private Limited Indore (M.P.)

For: Indira Securities Pvt. Ltd

Signature of the Authorised Signatory