

CLIENT AGREEMENT



PRITHVI BROKING PVT. LTD.

SOW YOUR MONEY. GROW YOUR MONEY

CLIENT NAME:

CLIENT CODE:

MEMBER: ICEX - Indian Commodity Exchange Ltd.(1098)

Regd. Office: 6 B, Corpora, L.B.S. Marg, Near Shangrilla Biscuit Co., Bhandup (W), Mumbai –
400078 Phone: 022 61404444 022 61404429 FAX: 022 61404427

E-mail: Prithvi@prithvibroking.com

Website: www.prithvibroking.com

CHECKLIST FOR THE CLIENTS

- The clients are required to fill the entire member agreement and the client registration form.
- Incomplete forms will not be accepted.
- Please put the signature wherever the signature initial is printed.
- In case of the corporate clients the rubber stamp of the company should be affixed along with the signature.

DOCUMENTS TO BE SUBMITTED ALONG WITH CLIENT REGISTRATION FORM FOR THE INDIVIDUAL CLIENTS:

- Proof of Address any two of the following:
Passport, Latest Electricity bill, Latest Telephone Bill copy, Ration Card, Driving License, Voters ID, Etc.
- Proof of Identity any one of the following:
Passport, Driving License, Voters ID, Etc.
- Copy of Bank Statement
- Letter from the Banker certifying the Bank Account Number and Signature
- Copy of latest Income Tax Return
- Self certified photo copy of the PAN Card
- 2 Photographs

DOCUMENTS TO BE SUBMITTED ALONG WITH CLIENT REGISTRATION FORM FOR THE NON-INDIVIDUAL CLIENTS:

- Details of Corporate Entity
- Copy of Memorandum of Association & Articles of Association (Applicable to Corporate Entity) / Partnership Deed (Applicable to Partnership Firms)
- Board Resolution authorizing the company officials to deal with the Member / authorization from the Partners to deal with Members.
- Copy of Annual Report of last 3 years
- Copy of Income Tax Statement for last 3 financial years.
- Net Worth Certificate by a Chartered Accountant
- Copy of latest Bank Statement
- Letter from the Banker certifying the Account Number and period from which this Account is in operation along with the signature of the Authorized Signatory
- Proof of date of incorporation
- Self certified photo copy of the PAN Card
- Share holding pattern of the company / Sharing Pattern of Partnership Firm
- Details of the Directors / Promoters:
 - Proof of Address any two of the following:
Copy of Passport, Latest Electricity bill, Latest Telephone Bill copy, Ration Card, Driving License, Voters ID, Etc
 - Proof of Identity any one of the following: Passport, Driving License, Voters ID, Etc
 - Copy of Bank Statement
 - Letter from the Banker certifying the Bank Account Number and Signature
 - Copy of latest Income Tax Return
 - Self certified photo copy of the PAN Card
 - Salary Certificate

Member – Client / Constituent Agreement

This agreement is made at _____ this _____ day of _____ 20____ by and between **PRITHVI BROKING PVT.LTD. (PBPL)**, a company/firm/individual or any other body duly formed and registered under the Relevant Act, hereinafter called MEMBER OF THE EXCHANGE, having its registered office address **6B CORPORA, L B S MARG, NEAR SHANGRILLA BISCUIT CO. BHANDUP (WEST), MUMBAI – 400078** and _____, a company / firm / individual or any other body duly formed and registered under the Relevant Act, hereinafter called CLIENT, having its registered office address at _____.

WITNESSTH:

Whereas the member is registered as MEMBER OF THE EXCHANGE of INDIAN COMMODITY EXCHANGE LIMITED (hereinafter called ICEX and /or 'EXCHANGE').

Whereas the CLIENT is desirous of trading in those contracts admitted for dealing on the ICEX as defined in the Bye – Laws, Rules and Business Rules of ICEX.

Whereas the CLIENT has satisfied itself of the capability of the MEMBER OF THE EXCHANGE to deal in those contracts admitted for dealing on the ICEX and wishes to execute his orders through him and the CLIENT shall continue to satisfy him of such capability of the MEMBER OF THE EXCHANGE before executing any orders through him.

Whereas the MEMBER OF THE EXCHANGE has satisfied and shall continuously satisfy himself about the genuineness and financial soundness of the CLIENT and trading objectives relevant to the services to be provided.

Whereas the MEMBER OF THE EXCHANGE has taken steps and shall take steps to make the CLIENT aware of the precise nature of the MEMBER liability for business to be conducted, including any limitations on that liability and the capacity in which it acts.

In consideration of your handling derivatives transactions carried out on the ICEX, I agree that

1) I have read the Risk Disclosure Document appended hereto and understand the trading & risks involved in trading in these instruments and am fully responsible for my dealings in these instruments.

- 2) I shall be bound by the Bye-Laws, Rules, Business Rules, and Customs of the Indian Commodity Exchange Limited and the Clearing House of the Exchange.
- 3) I shall deposit with you monies, Warehouse Receipts or other property, which may be required to open and/or maintain my account or maintain my position.
- 4) I shall not, acting alone or in concert with others, directly or indirectly, hold and control excess number of permitted futures contracts as fixed from time to time by the Exchange.
- 5) I shall not exercise a long or short position where, acting alone or in concert with others, directly or indirectly I will have exercised in excess of the number of permitted futures contracts as may be fixed from time to time by the Exchange.
- 6) All monies, Warehouse Receipts or other property, which you may hold on my account, shall be held subject to a general lien for the discharge of my obligations to you under this agreement.
- 7) I hereby authorize you at your discretion, should you deem it necessary for your protection to buy, sell or close out any part or all of the derivative contracts held in my account with you. I will reimburse any or all such incidental expenses incurred by you.

Now, THEREFORE, In consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the terms and conditions, as follows:

1. The agreement entered into between the Member and the CLIENT shall stand terminated by mutual consent of the parties by giving at least one-month notice to each other. Such termination shall not have any effect on the transactions executed before the date of notice of termination and the parties shall enjoy same rights and shall have same obligations in respect of such transactions.
2. In the event of the death or insolvency of the CLIENT or his otherwise becoming incapable of receiving and paying for or delivering or transferring Commodities which the CLIENT has ordered to be bought or sold, the Member may with the approval of the Exchange, close out the transaction of the CLIENT and the CLIENT or his legal representative shall be liable for any losses, costs and be entitled to any surplus which may result there from.
3. All trades, transactions and contracts are subject to the Rules, Bye Laws and Regulations of the Exchange and shall be deemed to be and shall take effect as wholly made, entered into and to be

performed in the city of MUMBAI for the purpose of giving effect to the provisions of the Rules, Bye - Laws and Regulations of the Exchange.

In WITNESS THEREOF, the parties to agreement have caused these presents to be executed as of the day and year first above written.

SIGNED for and on behalf of

THE Member: _____

By : _____

Signature : _____

Title : _____

Witness : _____

SIGNED for and on behalf of

THE Client: _____

By : _____

Signature : _____

Title : _____

Witness : _____

Risk Disclosure Document

THIS DOCUMENT SHOULD BE READ BY EACH AND EVERY PROSPECTIVE CONSTITUENT/ CLIENT BEFORE ENTERING INTO COMMODITY FUTURES CONTRACTS/DERIVATIVES MARKET/ TRADING AND SHOULD BE READ IN CONJUNCTION WITH LIENTS'/ CONSTITUENTS'/ INVESTORS' RIGHTS & OBLIGATIONS, BYE LAWS, RULES AND REGULATIONS OF THE INDIAN COMMODITY EXCHANGE LIMITED(ICEX).

ICEX/ Forward Markets Commission (FMC) does not singly or jointly, expressly or impliedly, guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure documents nor has ICEX/FMC endorsed or passed any merits of participating in the Commodity Derivatives market/trading. This brief statement does not disclose all of the risks and other significant aspects of trading. You should, therefore, study derivatives trading carefully before becoming involved in it.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the contractual relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that investment in commodity futures contracts/ derivatives or other instruments traded on the Commodity Exchange(s), which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/ limited investment and/ or trading experience and low risk tolerance. You should, therefore, carefully consider whether such trading is suitable for you in the light of your financial condition. In case, you trade on ICEX and suffer adverse consequences or loss, you shall be solely responsible for the same and ICEX its Clearing House and/ or Forward Markets Commission shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take the plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned member. The Constituent/ Client shall be solely responsible for the consequences and no contract can be rescinded on that account.

You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a commodity derivatives being traded on ICEX.

It must be clearly understood by you that your dealings on ICEX through a member shall be subject to your fulfilling certain formalities set out by the member, which may, inter alia, include your filing the know your client form, client registration form, execution of an agreement etc. and are subject to Rules, Byelaws and Business Rules of the ICEX and its Clearing Corporation/Clearing House, guidelines prescribed by FMC from time to time and circulars as may be issued by ICEX or its Clearing Corporation/Clearing House from time to time.

ICEX does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any member of the ICEX and/ or third party based on any information contained in this document. Any information contained in this document must not be construed as business advice/investment advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1 Basic Risks involved in the trading of Commodity Futures Contracts and other Commodity Derivatives Instruments on the Indian Commodity Exchange Limited (ICEX).

i. Risk of Higher Volatility

a. Volatility refers to the dynamic changes in price that commodity derivative contracts undergo when trading activity continues on the Commodity Exchange. Generally, higher the volatility of a commodity derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded commodity derivatives contracts than in actively traded commodities/ contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in real losses.

ii. Risk of Lower Liquidity

a. Liquidity refers to the ability of market participants to buy and/ or sell commodity derivative contract expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the number of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/ or sell commodity derivatives contracts swiftly and with minimal price difference and as a result, investors are more likely to pay or receive a competitive price for commodity derivative contracts purchased or sold. There may be a risk of lower liquidity in some commodity derivative contracts as compared to active commodity derivative contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

b.. Buying/ Selling without intention of giving and/ or taking delivery of certain commodities may also result into losses, because in such a situation, commodity derivative contracts may have to be squared-off at a low/ high prices, compared to the expected price levels, so as not to have any obligation to deliver/ receive such a commodities.

iii. Risk of Wider Spreads

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a commodity derivative and immediately selling it or *vice versa*. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid commodities/commodity derivatives contracts. This in turn will hamper better price formation.

iv. Risk-reducing orders

a. Most of the Exchanges have a facility for investors to place “limit orders”, “stop loss orders” etc. Placing of such orders (e.g. “stop loss” orders or “limit” orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

b. A “market” order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that while the customer may receive a prompt execution of a “market” order, the execution may be at available prices of outstanding orders, which satisfy the order

quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that commodity derivatives contract.

c. A “limit” order will be executed only at the “limit” price specified for the order or a better price. However, while the constituent/client received price protection, there is a possibility that the order may not be executed at all.

d. A stop loss order is generally placed "away" from the current price of a commodity derivatives contract, and such order gets activated if and when the contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the contract approaches pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

v. Risk of News Announcements

a. Traders/Manufacturers make news announcements that may impact the price of the commodities and/or commodity derivatives contracts. These announcements may occur during trading and when combined with lower liquidity and higher volatility may suddenly cause an unexpected positive or negative movement in the price of the commodity/ commodity derivatives contract.

vi. Risk of Rumours

Rumours about the price of a commodity at times float in the market through word of mouth, newspaper, websites or news agencies, etc., the investors should be wary of and should desist from acting on rumours.

vii. System Risk

a. High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

b. During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in execution of order and its confirmation.

c. Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a commodity due to any action on account of unusual trading activity or price hitting circuit filters or for any other reason.

viii. System/ Network Congestion

Trading on ICEX is in electronic mode, based on satellite/ leased line communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control of and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2 As far as Futures Commodity Derivatives Trading are concerned, please note and get yourself acquainted with the following additional features:-

Effect of "Leverage" or "Gearing":

The amount of margin is small relative to the value of the commodity derivatives contract so the transactions are 'leveraged' or 'geared'. Commodity Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the principal investment amount. But transactions in commodity derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in commodity derivatives contracts and also trade with caution while taking into account one's circumstances, financial resources, etc.

- i. Trading in Futures Commodity Derivatives involves daily settlement of all positions. Every day the open positions are marked to market based on the closing price. If the closing price has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This margin will have to be paid within a stipulated time frame, generally before commencement of trading on the next day.
- ii. If you fail to deposit the additional margin by the deadline or if an outstanding debt occurs in your account, the Member of the Exchange may liquidate/square-up a part of or the whole position. In this case, you will be liable for any losses incurred due to such square-up/Close Outs.
- iii. Under certain market conditions, an Investor may find it difficult or impossible to execute the transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- iv. Steps, such as, changes in the margin rate, increase in the cash margin rate etc. may be adopted in order to maintain market stability. These new measures may be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- v. You must ask your Member of the Exchange to provide the full details of the commodity derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

3 General

i. Deposited cash and property:

You should familiarize yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm become insolvent or bankrupt. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property, which has been specifically identifiable as your own, will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute

with the Member of the Exchange, the same shall be subject to arbitration as per the Rules, Bye-laws and Business Rules of the Exchange.

ii. Commission and other charges:

Before you begin to trade, you should obtain a clear explanation of all commissions, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

iii. For rights and obligations of the clients, please refer to *Appendix 1 enclosed with this document.*

iv. The term ‘Constituent’ shall mean and include a Client, a Customer or an Investor, who deals with a member for the purpose of trading in the commodity derivatives through the mechanism provided by the ICEX.

v. The term ‘member’ shall mean and include a Trading Member or a Broker, who has been admitted as such by ICEX and got a Unique Member Code from FMC.

I hereby acknowledge that I have received and understood this risk disclosure statement and *Appendix 1* containing my rights and obligations.

Client’s Name :

Client’s Signature :

Date :

Place

(If Partner, Corporate, or other Signatory, then attest with firm/ company stamp.)

Appendix – 1

INVESTORS' CLINETS RIGHTS AND OBLIGATIONS

1. You should familiarize yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the commodity derivatives market or the member becomes insolvent or bankrupt.
2. Please ensure that you have a documentary proof of having made the deposit of such money or property with the member, stating towards which account such money or property deposited.
3. Before you begin to trade, you should obtain a clear idea from your member of all brokerage, commissions, fees and other charges which will be levied on you for trading. These charges will affect your net cash inflow or outflow.
4. Furnish all such details in full as are required by the member as required in "Know Your Clients" form, which may also include details of PAN or Passport or Driving License or Voters Id, or Ration Card, bank account and depository account, or any such details made mandatory by the Exchange at any time, as is available with the investor.
5. Execute a Member-Client agreement in the form prescribed by the Exchange.
6. Ensure that a contract note is issued to you by the member in the prescribed format which contains the details of transaction(s). Verify that the contract note contains details of order number, trade number, trade time, trade price, trade quantity, and client code allotted to you and showing the brokerage separately. Contract notes are required to be issued by the member to the investors within 24 hours from the close of trading hours when the trade is executed. Member may also issue digitally signed contract note in electronic form at your request subject to the compliance of all the provision of IT Act, 2000 or in hard copy.
7. Facility of trade verification is available on the ICEX website (www.icexindia.com) where details of trade as mentioned in the contract note may be verified up to seven days from the date of execution of the trade.

8. Ensure that payment/ delivery of warehouse receipts is given well in advance to the Member prior to the date of pay-in announced by the Exchange or its Clearing Corporation/Clearing House. Payment should be made only by account payee cheque In favor of the member and receipt or acknowledgement towards what such payment is made and receipt/ acknowledgement for warehouse receipts delivered to the member, be obtained from the member. Delivery of warehouse receipts in demat, is made to the pool account of the member rather than to the beneficiary account of the member. In case payout of money is not received within 48 hours after pay-out announced by Exchange or its Clearing House / Clearing Corporation, please follow - up with the concerned member for its release. In case, pay-out is not released as above from the member within five working days, ensure that you lodge a complaint immediately with the Investor Grievances Division of the ICEX.

9. Every member is required to send a complete periodical 'Statement of Accounts', for both funds and commodities settlement to each of his/her/its clients, at such period as may be prescribed from time to time. You should report errors, if any, in the Statement immediately but not later than 30 calendar days of receipt thereof, to the member. In case, the error is not rectified or there is a dispute, ensure that you refer such mater to the Investor Grievances Division of the ICEX without delay.

10. In case of a complaint against Member, you should address the complaint to the office as may be specified by the ICEX from time to time.

11. In case, where a member surrenders his/her/its membership, Member gives a public notice inviting claims, if any, from investors. In case of a claim relating to “transactions executed on the trading system of the ICEX, ensure that you lodge a claim with ICEX or its Clearing Corporation / Clearing House within the stipulated period and with the supporting documents.

12. In case, where a member is declared a defaulter or expelled from membership, ICEX gives a public notice inviting claims, if any, from investors. In case of a claim, relating to transactions executed on the trading system of the ICEX, ensure that you lodge a claim with ICEX within the stipulated period and with the supporting documents.

13. Claim against a Defaulter/ Expelled Member found to be valid as per the prescribed relevant Rules/Bye-laws of the ICEX and Guidelines of the Investors' Protection Fund (IPF), the Relevant Authority of the Exchange/Committee will disburse the amount of compensation from the IPF to the extent of maximum amount fixed by the Exchange or the actual claim amount, whichever lower. The balance claim amount if any shall be paid on pro - rata basis out of the amounts realized by the Exchange from the assets vested with the relevant authority/ Committee of the Exchange, if the amount realized from the assets is inadequate.

14. In case of any claim, difference or dispute between you and the member arising out of or in relation to trades, contracts and transactions, the same shall be taken-up with the Member directly for conciliation with or without intervention of the Exchange. If the said claim, difference or dispute persists, you may refer the same to arbitration in accordance with the provisions of the Rules, Bye-laws and Business Rules of the Exchange within 6 months from the date of last transaction or delivery or payment effected between you and the member.

Client Registration Form: Individual Client

(THIS INFORMATION IS THE SOLE PROPERTY OF THE TRADING MEMBER AND WOULD NOT BE DISCLOSED TO ANYONE UNLESS REQUIRED BY LAW)

To
(Name of Member)
Membership Registration Number
Address of Member

PHOTOGRAPH

Sign across the
Photograph

Dear Sir

I/We request you to register me/ us as your client. The Details of Registration is as under:

(01) Full Name: _____

(02) Date of Birth /Age: _____
(DD/MM/YY)

(03) Gender: _____
(Male / Female)

(04) Occupation: _____

(05) Net worth as on (DD /MM/YY): Rs. _____ Date _____

(06) Nationality: _____

(07) IT Permanent Account Number (PAN): _____

If PAN is not available, the reasons thereof: _____

Whether declaration as per the format prescribed by the Income Tax department given?
Yes / No (Strike-off whichever is not applicable)

(08) Correspondence Address: _____

City: _____

Pin Code: _____

State: _____

Country: _____

Telephone Number: _____

Mobile Number: _____

Fax Number: _____

Email ID: _____

(09) Residential Address: _____

City: _____

Pin Code: _____

State: _____

Country: _____

Telephone Number: _____

Mobile Number: _____

Email ID: _____

(10) Details of Bank Account:

Name & Address of Bank: _____

Account Number of the Bank and Account Type:

(11) Sales Tax Registration Details:

Local Sales Tax Registration No.
(LST/VAT) _____

Validity Date _____

Central Sales Tax: Registration No:
(CST) _____

Validity Date _____

(12) Depository Account Details:

Depository (DP) Name: _____

DP ID: _____

Client ID: _____

(13) Financial details of the client:

Income Range (Per Annum): (Tick where applicable)

- Below Rs. 1, 00,000 _____
- Rs. 1, 00,000 To Rs. 5, 00,000 _____
- Rs. 5, 00,000 To Rs. 10, 00,000 _____
- Rs. 10, 00,000 To Rs. 25, 00,000 _____
- Above Rs.25, 00,000 _____

(14) Investment/Trading Experience

No Prior Experience

___ Years in Commodities

___ Years in Other investment related fields

(15) Trading Preference

Commodity Exchanges on which you wish to trade (if the member is also registered with other Exchanges):

1. _____

2. _____

3. _____

4. _____

(16) Details of any action taken by SEBI/FMC/Stock exchange/Commodity exchange/any other authority:

(17) Details of Registration with other Exchanges:

Name of Exchange : _____

Name of Broker : _____

The information furnished above is true to the best of my knowledge and belief. I undertake to inform changes in any of the above points in writing immediately to the Exchange.

(18) References

Introduction: Introduced by another client / director or employee of trading member / any other person (please specify)

Name of the Introducer: _____
(Surname) (Name) (Middle name)

Signature _____

The information furnished above is true to the best of my knowledge and belief. I undertake to inform changes in any of the above points in writing immediately to the Exchange.

I enter into agreement to abide by all the terms and conditions of the Exchange.

Authorized Signatory

Place:

Date:

Client Registration Form: Other than Individual Client

(THIS INFORMATION IS THE SOLE PROPERTY OF THE TRADING MEMBER AND WOULD NOT BE DISCLOSED TO ANYONE UNLESS REQUIRED BY LAW)

To
(Name of Member)
Membership Registration Number
Address of Member

PHOTOGRAPH of
one of the
Authorized Signatory

Sign across the
Photograph

Dear Sir,

We request you to register us as your client. The Details of Registration is as under :

(01) Name of the Company / Firm _____

(02) Constituent Profile _____
(Producer / Trader / Consumer)

(03) Details of Registered Office:

Correspondence Address: _____

City: _____

Pin Code: _____

State _____

Country: _____

Telephone Number: _____

Mobile Number: _____

Fax Number: _____

Email ID: _____

(04) Date of Incorporation _____

(DD/MM/YY)

(05) Date of Commencement of Business

(DD/MM/YY)

(06)

A. Names of Promoters / Partners /Karta and residential address

1. _____
2. _____
3. _____
4. _____
5. _____

B. Names of directors and residential address

1. _____
2. _____
3. _____
4. _____
5. _____

C.. Names and Designation of persons authorized to deal in commodities on behalf of the company/firm/others and their residential address

1. _____
2. _____
3. _____
4. _____
5. _____

(07) Networth as on (DD /MM/YY) _____

(08) IT Permanent Account Number (PAN) _____

If PAN is not available, the reasons thereof: _____

Whether declaration as per the format prescribed by the Income Tax department given?
Yes / No (Strike-off whichever is not applicable)

(09) Details of Bank Account:

Name & Address of Bank: _____

Account Number of the Bank and Account Type:

(10) Financial details of the client:

Income Range (Per Annum): (Tick where applicable)

- Below Rs. 1, 00,000 _____
- Rs. 1, 00,000 To Rs. 5, 00,000 _____
- Rs. 5, 00,000 To Rs. 10, 00,000 _____
- Rs. 10, 00,000 To Rs. 25, 00,000 _____
- Above Rs.25, 00,000 _____

(11) Investment/Trading Experience

No Prior Experience

___ Years in Commodities

___ Years in Other investment related fields

(12) Trading Preference

Commodity Exchanges on which you wish to trade (if the member is also registered with Other Exchanges):

1. _____
2. _____
3. _____
4. _____

**(13) Details of any action taken by SEBI/FMC/Stock exchange/Commodity exchange/
any other authority:**

(14) Sales Tax Registration Details:

- Local Sales Tax Registration No.
(LST/VAT) _____
- Validity Date _____
- Central Sales Tax: Registration No:
(CST) _____
- Validity Date _____

(15) Depository Account Details:

- Depository (DP) Name : _____
- DP ID: _____
- Client ID: _____

(16) Details of Registration with other Exchanges:

- Name of Exchange: _____
- Name of Broker: _____

The information furnished above is true to the best of my knowledge and belief.

I undertake to inform changes in any of the above points in writing immediately to the Exchange.

(17) References

Introduction: Introduced by another client / director or employee of trading member
/ any other person (please specify)

Name of the Introducer: _____

(Surname) (Name) (Middle name)

Signature _____

I enter into agreement to abide by all the terms and conditions of the Exchange.

Authorized Signatory

Place:

Date:

Authorized Signatory

Place:

Date:

For office Purpose (To be completed, signed and authorized by member)

Client Code:

Verified by: _____
(Name)

Authorized by: _____
(Name)

FOR PRITHVI BROKING PVT LTD

CLIENT NAME : _____

CLIENT CODE : _____

SUB BROKER : _____

AUTHORISED PERSON : _____

BROKERAGE SLAB : **ICEX**

____ ONE SIDE /BOTH SIDES: _____

SHARING RATIO : _____

SIGNATURE : _____

DATE : _____

Letter of Authority

To,
PRITHVI BROKING PVT. LTD.
Membership No. 1098.
6 B, CORPORA, 6TH FLOOR,
L.B.S. MARG, NEAR SHANGRILLA BISCUIT CO.,
BHANDUP (WEST),
MUMBAI - 400078

Dear Sirs,

Sub: Letter of Authority

I/We have opened the client / constituent account with PRITHVI BROKING PVT. LTD. (herein referred to as "PBPL") for trading / dealing in forward contracts of commodities on **Indian Commodity Exchange Ltd.** In respect of my dealing / account with you, I/We hereby request / instruct and authorize you to do the following:

1. To set off 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 collateral shares provided to you by me.
2. I/We hereby authorize you not to 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. To maintain a running account instead of settlement of my/our dues and / or delivery of securities on a bill to bill basis.
4. To hold payout of funds / retain a credit balance in any of my/our account and to use the ideal fund towards my exposure / trading limits / margin requirements / future obligations of both the exchange / other dues.
5. I/We request you to retain securities in your demat accounts as collateral for my margin /future obligations of both the exchanges unless I/we instruct you to transfer the same to my/our account.
6. To accept verbal instructions for order placing / order modifications / order cancellation and I/we expressly agree that give me/us all the confirmation on telephone unless instructed otherwise in writing and / or contract note is accepted by me/us, there shall be no question in relation of execution or non-execution or inappropriate execution of any of my/our orders for a particular trading day.
7. I/we will collect from your office contracts notes, bills, securities etc. as per my/our convenience.
8. I/We request that you may send / dispatch me contract notes, other documents like bills, Account Statements, Daily Margin Statements, Notices, Circulars, Amendments, etc. through E-mail: on my/our designated e-mail address _____. I/we undertake to check the contract notes and bring the discrepancies to your notice within 24 hours of such issuance of contract notes. My/our non-verification or not accessing the contract notes, contract notes will be issued in physical form, which shall be binding on me/us. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client. Discrepancies, if any, should be sent to the branch or E-mail helpdesk @ Prithvi@prithvibroking.com within 24 hours of issuance of the digital contract notes. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchange from time to time. Any charges in the terms and conditions

shall be intimidated from time to time. I/We stress that I/we 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. Non receipt of bounced mail notification by the trading member shall amount to delivery of contract note at the e-mail Id of the client.

9. I/We will completely rely on the log reports of your dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute the same.

10. I/We will inform you the change in my/our e-mail, if any, in future either by Regd. Post or through a digitally signed e-mail.

11. Trading of currency is in electronic mode, based on VSAT, leased line, ISDN, Modem and VPN, Combination of technologies and computer systems to place and route orders. I/We understand that their exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem / glitch whereby lot being able to establish access to the trading system/ network, which may be beyond the control and may result in delay in processing or not processing buy or sell orders either in part or in full. I/We agree that I/We shall be fully liable and responsible for any such problems/ glitch.

12. I/We confirm that I/We will not sublet the trading terminal on any term of connectivity from my/our place without your prior approval.

13. I/We shall abide by the rules regulations circulars of the exchange issued from time to time as applicable and shall be liable for non- adherence.

14. I/We hereby authorize you to square off my/our trades, if my/our debit balance is running in my/our account and there is any shortage in my/our mark to market margin at any point of time.

15. I/We hereby authorize you to charge me/us interest at the rate as decided by you from time to time if my/our debit balance is outstanding in my/our account for more than a week.

16. I/We hereby confirm and declare that the member has informed us that they do client based business and proprietary trading as well. I/We hereby confirm that I/We have taken note of the same and acknowledge the same.

The above standing instructions are valid from the date the account is opened to the day closure of the account at your end.

Thanking You,

Yours Faithfully

Client's Signature

Client Name _____

Client Code _____