

Trade on commodity. **Assure future security.**



Globe Commodities Limited

Application No. _____

Client Name _____

UCC Code _____

Branch Name _____

Branch Code _____

RM Name _____

RM Emp. Code _____

SRM Name _____

SRM Emp. Code _____

Trading Mode Online Offline

S. No.	Name of the Document	Brief Significance of the Document	Page No.
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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

1.	Account Opening Form	KYC Form - Basic Information about the client.	1-5
2.	Tariff Sheet	Detailing the rate / amount of brokerage & other charges.	6
3.	IND-FATCA & CRS	FATCA & CRS Declaration for Individual	6

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

1.	Uniform Risk Disclosure Document (RDD)	Document detailing risk associated with dealing in the Commodities Market & RDD of option.	Client Copy Also available at our website
2.	Rights and Obligations	Document stating the Rights and Obligations of Member, Authorized Person and Client for trading on Exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	
3.	Guidance Note	Documents detailing do's and don'ts for trading on the exchange(s) for the education of the investor.	
4.	Policies & Procedures	Documents detailing member Policies & Procedures for trading in commodities	

VOLUNTARY DOCUMENTS AS PROVIDED BY THE COMMODITY BROKER

1.	Verbal Order	Verbal Order Acceptance Authorisation and General Authority	7
2.	General Authorisations	Helps the client to enjoy exposures linked to the credit in the trading account & Authorisation to Pledge the securities with Clearing Member / Clearing Corporation	8
3.	PCD	Participants Category Disclosure	9
4.	Letter of Authority to Trade	Where client wishes to authorize a family member to operate his/her account	10
5.	Electronic Contract Note	Electronic Contract Note (ECN) Authorisation	11
6.	Open Interest Declaration	Declaration by the Client to abide the Net Open Interest Position as permissible in any Commodity.	11
7.	NON-IND FATCA & CRS	FATCA & CRS Declaration for Non-Individual	12-13
8.	Declaration of HUF	Declaration by Karta & all the Co-Parceners	14

Name of Commodity Broker- GLOBE COMMODITIES LIMITED

Registered Office : 804, Ansal Bhawan, 16 K.G Marg, Connaught Place, New Delhi-110001 • Ph.: 011-30412345 Fax No. : 011-41520276
Correspondence Office : 804, Ansal Bhawan, 16 K.G Marg, Connaught Place, New Delhi-110001 • Ph.: 011-30412345 Fax No. : 011-41520276

Compliance Officer : Mr. Rajiv Mehta

Phone no. : 011-30412345 • Email id : commcompliance@globecapital.com

CEO : Mr. Yashpal Mendiratta

Phone no. : 011-30412345 • Email id : ceo@globecapital.com

INTRODUCER DETAILS (optional)

Name of the Introducer: F I R S T N A M E | M I D D L E N A M E | S U R N A M E

Status of the Introducer:

Authorized Person Existing Client Employee Others: (Please Specify Others)

Address of the Introducer:

Employee Code: Employee E-mail:

Mobile: Phone(with STD Code): -

(To be filled by Intermediaries / Employee)

I / We undertake that we have made the client aware of tariff sheet and all the voluntary/non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD, 'Do's and Dont's', Policies & Procedures and Guidance Note. I/We will give/send him a copy of all the KYC documents. I/We undertake that any change in the tariff sheet and all the voluntary/non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations', Policies & Procedures and RDD would be made available on my/our website, if any, for the information of the clients.

Signature of the Introducer : 

DETAILS OF EXCHANGE MEMBERSHIP

Exchanges	Membership No.	FMC Regn. No.
Multi Commodity Exchange (MCX)	CM-8550, TM 10735	MCX/TCM/CORP/0628
National Commodity & Derivative Exchange (NCDEX)	CO-03-00012	NCDEX/TCM/CORP/0004
Indian Commodity Exchange (ICEX)	1009	ICEX/TCM/CORP/0011
National Derivative & Commodity Exchange SPOT (NCDEX SPOT)	10011	-
SEBI Registration No.	INZ000024939	

EXCHANGE-WISE INVESTOR GRIEVANCE CELL

Exchanges	E-mail ID	Phone No.
Multi Commodity Exchange (MCX)	grievance@mcxindia.com	022-67318888
National Commodity & Derivative Exchange (NCDEX)	ig@ncdex.com	022-66406789
Indian Commodity Exchange (ICEX)	grievance@icexindia.com	022-40381546

Note :- Kindly note that, in addition to client trading, Globe Commodities Ltd. also does proprietary (own) trading.

ACKNOWLEDGEMENT TO GLOBE FROM CLIENT

To,
GLOBE COMMODITIES LTD.
 804, Ansal Bhawan, 16 K.G, Marg, Connaught Place, New Delhi-110001

Date: _____

I/we hereby confirm that I/we have read, understood, agreed and received a duly executed copy of the:-


- Account Opening Form
- Trading Account related details & Tariff Sheet
- Rights and Obligations of Member, Authorized Person and Client for Trading on Exchanges.
- Internet and Wireless technology based trading facility provided by Stock Brokers to Client
- Uniform Risk and Disclosure Document for Trading in Commodity Derivative segments
- Guidance Note-Do's and Don't for trading on Exchange(s) for my/our Education.
- Policies and Procedures
- Terms & Conditions as mutually agreed by me/us & FATCA & CRS Terms & Conditions
- Other disclosure/documents as agreed by me/us specifically in voluntary segment.

I/we confirm that I/we and Stock Broker shall refer all claims, differences or disputes with respect to trade, deposits, margin money, etc. or any other difference or dispute that may arise in relation to my/our dealings, contracts and transaction made subject to the Bye-Laws, Rules and Regulations of the Exchange(s) or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions and contracts have entered into to the arbitration in accordance with the provisions of the Byelaws, Rules and Regulations of the respective Exchange(s)

Thanks and Best regards,

Client Code : _____

For _____

Sign here : (1) 

Authorised Signatory Name

For Globe Commodities Ltd.

Authorised Signatory / Director

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/ Partners/Karta/Trustees and whole time directors and persons authorized to deal in commodity derivatives on behalf of company/firm/others.
 2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. 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 regional 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. For non-residents and foreign nationals, (allowed to trade subject to RBI and FIPB/FEMA guidelines & other applicable statutory approvals), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
 8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
 9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted alongwith other statutory approvals required for investment in commodities.
 10. Politically Exposed Persons (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, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.
- 11. Clarification / Guidelines on filling 'Personal Details' section**
1. Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
 2. Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.
 3. Letter issued by a gazetted officer, with a duly attested photograph of the person.
 4. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.

B. Proof of Identity (POI) :- List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.

3. Identity card issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.
4. NREGA Job Card.

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. Aadhar Card/ 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 2 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/ Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/ Parliament/ Documents issued by any Govt. or Statutory Authority.
5. Identity card/document 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, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
6. The proof of address in the name of the spouse may be accepted.
7. NREGA Job Card.

D. Exemptions/clarifications to PAN

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

1. Transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim (subject to the continued exemption granted by Government)

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

F. Incase of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD(to be submitted every year) • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly • Copies of the Memorandum and Articles of Association and certificate of incorporation • Copy of the Board Resolution for investment in securities market • Authorised signatories list with specimen signatures
Partnership firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Certificate of registration (for registered partnership firms only) • Copy of partnership deed • Authorised signatories list with specimen signatures • Photograph, POI, POA, PAN of Partners
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Certificate of registration (for registered trust only). Copy of Trust deed • List of trustees certified by managing trustees/CA • Photograph, POI, POA, PAN of Trustees
HUF	<ul style="list-style-type: none"> • PAN of HUF • Deed of declaration of HUF/List of coparceners • Bank pass-book/bank statement in the name of HUF • Photograph, POI, POA, PAN of Karta
Unincorporated Association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document • Resolution of the managing body & Power of Attorney granted to transact business on its behalf • Authorized signatories list with specimen signatures
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years • Authorized signatories list with specimen signatures
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate • Authorized signatories list with specimen signatures
Army/Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead • Authorized signatories list with specimen signatures
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act • List of Managing Committee members • Committee resolution for persons authorised to act as authorised signatories with specimen signatures • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

Please Submit the KYC Documents on A4 Size Paper Only.



A. Identity Details Please fill in ENGLISH and BLOCK LETTERS with black ink

	Prefix	First Name	Middle Name	Last Name
1. Name of Applicant				
Name as per Income Tax Record				
Maiden Name (if any)				
Father / Spouse Name				
Mother Name				

2. A. Gender Male Female Transgender B. Marital status Single Married Others _____

3. PAN _____ Nationality / Citizenship Indian Other (Please specify) _____

4. Residential Status Resident Individual Non Resident Indian Foreign National Person of Indian Origin

Occupation (Please tick (3) any one and give brief details):

Private Sector Service Public Sector Government Service Business Professional Agriculturist

Retired Housewife Student Others (Please specify) _____

5. UID/Aadhaar : _____ Date of Birth d | d | m | m | y | y | y | y

6. Proof of Identity submitted for PAN exempt cases (see guideline 'D' in check list.)

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

B. Address Details

1. Address for Correspondence

State	City/Town/Village	Country	Pin Code
-------	-------------------	---------	----------

2. Contact Details

Mobile (Primary) (ISD) (STD)	Mobile (Secondary) (ISD) (STD)
Tel. (ISD) (STD)	Fax (ISD) (STD)

MOBILE (Primary) given by me belongs to Me Spouse Dependent children Dependent Parent

E-Mail ID. (In Capital Letters only)

E-MAIL ID given by me belongs to Me Spouse Dependent children Dependent Parent

No E-Mail/Mobile Declaration I hereby declare that I do not have any Email ID/Mobile

3. Specify the Proof of Address submitted for Residence / Correspondence Address UID Bank Statement Other _____

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

State	City/Town/Village	Country	Pin Code
-------	-------------------	---------	----------

5. Specify the Proof of Address submitted for Residence / Permanent Address _____

C. Fatca & CRS Detail Nationality/Tax Residency/Citizen ship Other than India No Yes

Country of Birth	Place/City of Birth
Country of Citizenship/Nationality	
Country of Tax Residency (Other Than India)	
Tax Payer Identification Number (Other Than India)	

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

I / We hereby provide my / our consent for sharing / disclosed of the Aadhaar number(s) including demographic information with Globe group of companies, SEBI, Exchanges, CKYC, KRA, Depositories and any other institutions / agencies as per requirement.

SIGNATURE OF APPLICANT

(2)

Place: _____

Date: _____

IPV TO BE FILLED BY - EMPLOYEE/AP/OTHERS

Intermediary name OR code _____

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received Main Intermediary

IN-PERSON VERIFICATION (IPV) DOCUMENTS VERIFIED WITH ORIGINALS CLIENT INTERVIEWED BY

Date : | d | d | / | m | m | / | y | y | y | y |

Institution Name & Code : **Globe Commodities Limited**

Name : _____ Code : _____

Designation : _____ Signature : _____

ANNEXURE

Name of the Applicant _____ PAN of the Applicant _____

Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and Wholetime/Other Directors :

1. Name _____
Date of Birth / / Status PAN
Residential Address _____
DIN UID DPIN
Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:
 Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP) Not a Politically Exposed Person (PEP) Not Related to a Politically Exposed Person (PEP)

Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories

2. Name _____
Date of Birth / / Status PAN
Residential Address _____
DIN UID DPIN
Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:
 Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP) Not a Politically Exposed Person (PEP) Not Related to a Politically Exposed Person (PEP)

Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories

3. Name _____
Date of Birth / / Status PAN
Residential Address _____
DIN UID DPIN
Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:
 Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP) Not a Politically Exposed Person (PEP) Not Related to a Politically Exposed Person (PEP)

Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories

4. Name _____
Date of Birth / / Status PAN
Residential Address _____
DIN UID DPIN
Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:
 Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP) Not a Politically Exposed Person (PEP) Not Related to a Politically Exposed Person (PEP)

Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories

5. Name _____
Date of Birth / / Status PAN
Residential Address _____
DIN UID DPIN
Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:
 Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP) Not a Politically Exposed Person (PEP) Not Related to a Politically Exposed Person (PEP)

Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories

Date /

Name & Signature of the Authorised Signatory(ies)

TRADING ACCOUNT RELATED DETAILS (For both Individuals & Non-individuals)

A. BANK ACCOUNT(S) DETAILS

Sr No.	Bank Name & Address	Bank Account No.	Account Type	MICR No.	IFSC Code
PRI SEC			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> NRE <input type="checkbox"/> NRO		
PRI SEC			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> NRE <input type="checkbox"/> NRO		

Note : Provide a copy of cancelled cheque leaves/passbook/bank statement specifying name of the client, MICR code or/and IFSC code of the bank.

B. DEPOSITORY ACCOUNT(S) DETAILS

Affiliated by	Accounting Software Name	Beneficiary Name	CP ID	Beneficiary ID (BO ID)
NCDEX	COMTRACK			
MCX	COMRIS			
ICEX	EDCM			

Depository Participant Name	Depository Name	Beneficiary Name	DP ID	Beneficiary ID (BO ID)

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

C. TRADING PREFERENCES

Note : Please sign in the relevant boxes against the Exchange with which you wish to trade. The Exchange not chosen should be struck off by the client.

Name of the Commodity Exchanges	Date of consent for trading on concerned Exchange	Signature	Name of the Commodity Exchanges	Date of consent for trading on concerned Exchange	Signature
MCX Futures & Options			NCDEX Futures & Options		
ICEX Futures & Options					

- I/We are interested to trade into commodity options and hereby accord my/our consent to trading in commodity options.
- I/We have gone through the additional risk disclosure document and have appraised myself/ourselves with the risk of trading in commodity options.
- This consent is valid till I/we revoke the same. I/We understand that I/we have right to withdraw the same at any point of time.

[In case of allowing a client for trading on any other Exchange at a later date, which is not selected now, a separate consent letter is required to be obtained by the Member from client and to be kept as enclosure with this document]

D. ADDITIONAL DETAILS

- I/We hereby request you to provide the Contract Notes, Daily Margin Statements, Monthly Statements, Settlement Extracts, AGTS, etc. at my/our registered email id. My/our Email Id has been created by me/us and not by someone else. I/We am/are aware that non-receipt of bounced mail notification by the Member shall amount to delivery of the aforesaid documents at my/our e-mail ID. Yes No
- Whether you wish to receive your executed KYC Electronically Physically
- Whether you wish to avail of the facility of internet trading/ wireless technology : Yes No (if yes, then please specify)
 Application Base Trading Web Base Trading Securities Trading using Wireless Technology
- Gross Annual Income (Please tick 3): Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac >25 Lac

OR

Net-worth in ₹. (*Net worth should not be older than 1 year) _____ as on (date) |d|d| / |m|m| / |y|y|y|y|

- Please tick, if applicable: Politically Exposed Person Related to a Politically Exposed Person
For definition of PEP, please refer guideline overleaf
- Non Commercial (Trader/ Arbitrageur) Commercial (Value Chain/ Physical market participant/ exporter/ importer/ having direct/ indirect Exposure to the underlying Commodity)
- Any other information: _____

E. INVESTMENT / TRADING EXPERIENCE

No Prior Experience _____ Years in Commodities _____ Years in other investment related fields

- **Is the entity involved/providing any of the following services** Yes No
 - For Foreign Exchange/Money Changer Services Yes No - Gaming/Gambling/Lottery Services (e.g. casinos, betting syndicates)
 - Money Lending / Pawning Yes No

F. GST REGISTRATION DETAILS

(Please give details of all States where you are Registered)

(In case the space provided bellow is insufficient then please attach separately in Annexure)

S.No.	State	State Code	GST Registration No.	Validity Date
1.				

G. DEALINGS THROUGH OTHER MEMBERS

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

Member's/Authorized Person (AP)'s Name : _____

Concerned Member's Name with whom the AP is registered : _____

Exchange : _____ Exchange's Registration Number : _____ Website _____

Registered Office Address : _____

Ph. _____ Fax _____ E-mail _____

Client Code : _____

Details of disputes/dues pending from/to such Member/AP : _____

H. PAST REGULATORY ACTIONS

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

I. NOMINATION DETAILS (for individuals only) I / We wish to nominate I / We do not wish to nominate

Name of the Nominee : _____ Relation with the Nominee : _____

PAN of Nominee : _____ Date of Birth of Nominee :

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Address & Phone No. of the Nominee : _____

If Nominee is a minor, details of guardian :

Name of Guardian : _____

Address & Phone No. of the Guardian : _____

Signature of Guardian : _____

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

Name :

1	s	t	w	i	t	n	e	s	s
---	---	---	---	---	---	---	---	---	---

 Name :

2	n	d	w	i	t	n	e	s	s
---	---	---	---	---	---	---	---	---	---

Address: _____ Address: _____

Signature of 1st witness

Signature of 2nd witness

DECLARATION

- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am / We are aware that I/we may be held liable for it.
- I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non-mandatory documents.
- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document', Policies & Procedures and 'Do's and Dont's'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/we hereby confirm that I/we have read, understood, agreed and received a duly executed copy of the:-
 - Account Opening Form, Trading Account Related Details and Tariff Sheet
 - Other disclosure/documents as agreed by me/us specifically in voluntary segment.
 - Terms & Conditions as mutually agreed by me/us
 - FATCA & CRS Terms & Conditions
 - Option Consent Letter
 - Other disclosure/documents as agreed by me/us specifically in voluntary segment.
 I/We have also been informed that the standard set of documents has been displayed for Information on Member's designated website, if any.

Place: _____

Date:

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

(3) _____

*Form need to be signed by all the authorized signatories (in case of Corporate).

Signature of Client/(all) Authorized Signatory(ies)

TARIFF SHEET

BROKERAGE STRUCTURE

Brokerage Slab	% of Turnover	Min Per Lot	
Futures	<input type="text"/>	<input type="text"/>	<input type="text"/>
Options	<input type="text"/>	<input type="text"/>	
Delivery	<input type="text" value=".25"/>		

Important Note: In case if you have not opted for ECN, Contract note would be send in physical and up to Rs. 25/- + GST per trade date would be charged as a minimum processing fee which is in addition to the total brokerage. Further, in addition to Exchange levied penalty for short/non collection of margin, a delay payment charges up to @2% per month would be charged for debit / shortage in pay in / margin default, as per exchange requirements. Depository / Pledge charges for the movement of commodity / shares between pool / beneficiary / margin account for pay in / payout or margin purpose will be charged. SEBI Turnover Fees / Risk Management Fees / Transaction charges / Clearing charges / Statutory charges / Courier / Administration / Annual Maintenance Charges / Processing / Warehouse charges / Open interest charges/or any other charges and penalties prescribed / levied by Exchange / Regulatory authority from time to time will be charged as applicable. Handling charges for issue of account statement, copy of contract note etc. will be charged as applicable. One time processing fee Rs. 50/- per segment shall be charged.

For **Globe Commodities Ltd.**

Authorized Signatory / Director

Sign here : (4) 

FATCA & CRS DECLARATION (FOR INDIVIDUAL)

Do you have any non-indian Country(ies) of Birth / Citizenship / Nationality and Tax Residency? Yes No

Sole/First Holder/Guardian	<input type="checkbox"/> Yes <input type="checkbox"/> No
Country of Birth	<input type="text"/>
Country of Citizenship/ Nationality	<input type="text"/>
Are you a US Specified Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No Please provide Tax Payer Id
Country of Tax Residency* (Other than India)	Taxpayer Identification No.
1.	<input type="text"/>
2.	<input type="text"/>
3.	<input type="text"/>

*Please indicate all countries in which you are a resident for tax purpose and associated Taxpayer identification number.

FATCA - CRS Terms and Conditions

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Globe Commodities Limited for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Signatures (5) 
Sole/First Holder Signature

*For detail terms & conditions please see Client Copy

GENERAL AUTHORISATION BY THE CLIENT

GLOBE COMMODITIES LTD.

Member : MCX, NCDEX & ICEX

804, Ansal Bhawan, 16, K. G. Marg, Connaught Place, New Delhi-110001

A. VERBAL ORDER ACCEPTANCE AUTHORISATION

Dear Sir,

I/we am/are dealing with you as client at MCX/NCDEX/ICEX in Derivative Segment. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/ dealing on my/our behalf as per instruction given below.

I/We agree and acknowledge that it is advised by you that I/We should give instruction for order placement/ modification and cancellation in writing and to avoid disputes, I/We must give instruction in exactly the format given below in duplicate (carbon copy/ photocopy only) and take signatures of at least two authorized officers at the branch along with company stamp on the carbon copy/ photocopy of the instructions in acknowledgment of receipt of my our instructions.

However as I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid the it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my/our authorized representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line/mobile phone) and execute the same. I/ We understand the risk associated with verbal orders and accept the same, and agree that I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

Thanking You

Yours Faithfully,

B. GENERAL AUTHORITY

Dear Sir,

I/we dealing with you as client at MCX//NCDEX/ICEX in Commodity Derivative Segment and in order to facilitate ease of operations, I/We hereby authorize you as under:

1. I/We authorise you to set off outstanding in any of my/our 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 or in any other exchange and/or against the value of cash margin or other collaterals provided to you by me/us.
2. I/We request you to retain credit balance in any of my/our account and to use the unused funds towards my/our margin/future obligation at any or all the Exchanges unless I/we instruct you otherwise. I/We also authorize you to debit the necessary demat charges from time to time, for keeping the shares/commodities in your client demat beneficiary account on my/our behalf. I/We also authorise you to debit the financial charges @2% p.m., for the debit balances or as delay payment charges at the rate prescribed by exchange for shortage in margin/debit balances, if any, in my/our account and not settled as per the exchange requirements.
3. I/We request you to retain my/our Securities/Commodities in your demat account for my/our margin/future obligations at all Exchanges, unless I/We instruct you to transfer the same to my/our account.
4. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephonic unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.
5. I/We hereby authorize you not to provide me/us Order Confirmation/ Modification / Cancellation Slips and Trade Confirmation slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.
6. We request that you/exchange/other regulatory authority may send/dispatch us contract notes/e-mail alert/other documents through e-mail on my/our designated e-mail address mentioned by me/us in KYC. I/We will completely rely on the log reports of you dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute on the same. I/We note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at my/our e-mail ID.
7. I/We will inform you the change of my/our demographic detail and other detail like Bank, DP etc.
8. I/We are aware and acknowledge that trading of all exchanges is in Electronic mode, based on Vsat, lease line, ISDN, Modem, VPN, Internet and/or combination of technologies and computer system to place and route order and also involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, pay in payout of funds & commodities, online & offline banking etc. these are susceptible to interruptions, delay, mistake and

dislocations; and your services may at any time be unavailable without further notice and I/we understand that there exists a possibility of communication failure or system problems or slow or delay response from system or trading halt, or any such other problem/glitch whereby not been able to establish access to the trading system/network or delay in execution of trades, which may be beyond your control and it may result in delay in processing or not processing of any orders either in part or in full. I/We understand that you are not making any representation or warranty that your service will be available to the Client at all times without any interruption. I/We agree that I/We shall not have any claim for any loss incurred by me/us against you on account of any suspension, delay, interruption, nonavailability or malfunctioning of your System or Service for any reason whatsoever.

9. I/We confirm that I/We never sublet the trading terminal on any term of connectivity from my/our place to any other place without your prior approval.
10. I/we am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
11. All fines/penalties and charges levied upon you due to my/our acts / deeds or transaction may be recovered by you from my/our account.
12. I/We have a Trading as well as depository relationship with GLOBE COMMODITIES LTD. Please debit the charges relevant with depository services from my/our trading account. I also agree to maintain the adequate balance in my/our trading account/ pay adequate advance fee for the said reason.
13. I/We agree that if my/our contract note bounce for more than 5 times you may dis-continue sending contract note/other documents/details/information on my/our email and will start sending physical documents and for that purpose you may also charge for the same.
14. I/We find it inconvenient for me/us to receive the monthly statement in physical form. Therefore, I/We am/are voluntarily requesting for delivering of monthly statement in electronic form. I/We have access to a computer and am/are regular internet user having sufficient knowledge for handling email operations.
15. For the purpose of providing quality and transparent services to its clients, the Company may record your conversation while interacting with you.

Yours faithfully,

C. AUTHORISATION TO PLEDGE THE SECURITIES WITH CLEARING MEMBER/ CLEARING CORPORATION

I/We are dealing through you as a client registered in MCX/NCDEX/ICEX in Future & Options Commodity Segments. I/We have given you the securities (includes both shares and commodities) as margin. I/We hereby confirm and declare that:

- (i) the Securities are in existence, owned by me/us and are and shall be free from any charge, lien or encumbrance, whether prior or otherwise
- (ii) the Securities will be subject to the creation of pledge in favour of or for the benefit of Trading Member and further that the Securities over which pledge may be created in future would be in existence and owned by me/us at the time of creation of such pledge and that the Said Securities to be given in future as security to Trading Member would likewise be unencumbered, absolute and disposable property of me/us.
- (iii) I/We authorise you to do all such acts and things, sign such documents and pay and incur any such costs, debts and expenses as may be necessary from time to time.
- (iv) I/We agree that the securities shall be subject to the first priority and lien in favour of Trading Member to secure, my/ our obligations and that the rights or interests of me/ us with respect to the Said Securities shall be subject and subordinate to the rights, claims and interests of Trading Member in respect of the Said Securities
- (v) You may invoke the pledge without any reference to or permission of me/ us and upon receipt of the Said Securities, Trading Member may utilize the proceeds in meeting my/our obligations in such manner as it may deem fit and that such invocation of pledge will be final and irrevocable against me/us.
- (vi) I/we shall not make any claims or demands for refund or any reimbursement in relation to the Said Securities.

D. RUNNING ACCOUNT AUTHORISATION

Dear Sir,


1. I / We am / are aware that as per the SEBI/ Exchange requirements, the settlement of funds is to be done within 48 hours of receiving the relevant pay out from the Exchange. I / We am/are also aware and understand that it is difficult to manage repeated payments with respect to all commodity market transactions. Also, I/we desire to use my/our commodities and funds as margin / collateral without which we cannot deal / trade.
2. Therefore, I/We hereby request and authorize you to maintain my account as a running account(s) which will entail that all funds/commodities due to us on payout shall be withheld with yourselves beyond the stipulated deadline send given to us only on demand. You shall transfer the funds lying in our credit within given Exchange prescribed time frame of my / our request.

3. I / We further authorize you to debit the funds from my / our running accounts and make pay-in of commodities /funds to exchanges. Subject to your discretion and valuation, please treat my / our collaterals and funds lying to my/our credit in running accounts as margin / collateral for my / our dealings / trading.
4. I/We further authorize you to debit/credit/transfer the funds between the various commodity Exchanges to clear / set off / adjust my / our debit balance or various dues payable to you / Exchange(s).
5. I/we request you to settle my running fund and commodities at a gap of Not be more than 90 days or Not be more than 30 days or Except that the fund given towards collaterals/Margin in form of Bank Guarantee and /or fixed deposit Receipt/Securities.

While settling my/our A/c, you are hereby authorised to retain balance up to 50,000/- (10,000/- w.e.f. 01-04-2020) or such other amount as may be prescribed by SEBI/Exchange from time to time. In case of credit balance of my/our account is less than 50,000 (10,000/- w.e.f. 01-04-2020) or other prescribed amount then no settlement may require to be done.

6. In case I / We have an open position on the settlement date, you may retain the requisite funds to meet the maximum likely margin obligations for the next 5 trading days as you may decide, subject to the relevant market conditions.
7. I / We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement 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 in writing at your registered office.

I / We acknowledge that I / We can revoke the above mentioned running account authority at any time by sending a signed instruction.

Sign here : (6) 

PCD (Participants Category disclosure)

Dear Sir,

I/We hereby confirm that among the given categories, I/We pertain to category I have ticked and authorize you to update the same in your records and for onward submission with Exchange.

Catagories	All Commodities	Specific Commodities (mention the names of commodities)
FPOs/ Farmers	<input type="checkbox"/> < Tick for All	
VCPs (Arbitrageurs, Importer, Exporter, Hedger, Phy. Mkt Trader, etc.)	<input type="checkbox"/> < Tick for All	
Domestic Financial Institutional Investors (Banks, Insurance Com, Mutual Fund, etc.)	<input type="checkbox"/> < Tick for All	
Foreign Participants (NRI, EFE, etc.)	<input type="checkbox"/> < Tick for All	
Others	<input type="checkbox"/> < Tick for All	

Sign here : (7) 

Date : _____

Client Name: _____

LETTER OF AUTHORITY TO TRADE

GLOBE COMMODITIES LTD.

Member : MCX, NCDEX & ICEX

804, Ansal Bhawan, I 6, K. G. Marg,
Connaught Place, New Delhi-110001

Dear Sir,

Sub : Authority to Trade on my/our behalf _____

I hereby authorise Mr/Ms. _____ S/d of _____
having PAN _____, UID No _____ & Mobile No _____ is my
husband/wife/son/daughter/brother/sister/parents/other (Please Specify) _____ to trade on my behalf in
my trading a/c No _____ and to perform all or any of the following acts, deeds and things for and on my /our
behalf and in my/our interest.

I/we confirm that the aforementioned Authorised Person is well aware of risks associated with trading.

1. To operate the Account on my/our behalf.
2. To issue necessary instructions to you, for purchase, sale or transfer of Commodities from or to the Account as per Representative own judgment and to sign necessary documents. wherever required effectuating such instructions of purchase, sale or transfer of Commodities from or to the Account.
3. To make or cause to make payments to GLOBE COMMODITIES LTD (GCL) whenever necessary. and in accordance with my/our obligations in accordance with the terms and conditions of various agreements executed between me/us and GCL.
4. To duly honour all my/our contractual obligations under various agreements executed between me/us and GCL including but not limited to the RIGHTS AND OBLIGATIONS OF GCL, AUTHORIZED PERSONS AND me/us as and as per Policies & Procedures prescribed by SEBI and Commodity Exchanges and/or any other undertaking, commitment issued by my/us in favour or GCL.
5. To accept and give valid discharges for acceptance and submission of contract notes, bills, ledger statements, transaction statements and all correspondence on my behalf and report any discrepancy therein to GCL.
6. To receive & accept necessary telephonic calls pertaining to margin &/or trade confirmation or any other call including verification call from GCL & undertake to update this contact detail in writing with GCL in the event of any such change. taking place at any time in future.
7. To sincerely abide by the Statutes, Rules, Regulations and Guidelines prescribed for the purpose and in relation to the operation of the Account.
 - a. I/we hereby agree and undertake that all such acts, deeds and things done by the Representative shall be deemed to be binding up on me/us as the same has been done by me/us only and I/we shall hereby ratify all and such acts, deeds. or things done by Representative in any manner whatsoever in discharge of the duties conferred upon him/her under the present instrument.
 - b. I/we hereby agree and undertake to indemnify and keep GCL including its directors. officers and employees indemnified against any loss, claims. liabilities, obligations. damages. deficiencies, actions, suits, or proceedings aroused / accrued or caused to the GCL for any wrong act, deed or thing done by the Representative in any manner whatsoever in exercise of the powers conferred upon him.
 - c. I/we further undertake and agree not to challenge any act, deed or things done by said Representative in any manner.
 - d. I/we hereby agree and acknowledge that this letter of Authority shall be effective and operational until GCL received and acknowledged revocation letter at its registered office.

Client Name : _____

Aurhorised Person Signature _____

Client Code : _____

Date : _____

Sign here : (8)



ELECTRONIC CONTRACT NOTE (ECN) DECLARATION (VOLUNTARY)

GLOBE COMMODITIES LTD.

Member : MCX, NCDEX & ICEX

804, Ansal Bhawan, 16 K G Marg, Connaught Place, New Delhi-110 001

Dear Sir,

I, _____ a client with Member M/s. Globe Commodities Limited of MCX, NCDEX, and ICEX Exchange 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.

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

Client Name :

Unique Client code :

PAN :

Address :

Signature of the Client

Verification of the client signature done by,

(9) 

Name of the designated officer of the Member

Signature 

Date : _____ Place : _____

DECLARATION BY THE CLIENT TO ABIDE THE NET OPEN INTEREST POSITION AS PERMISSIBLE IN ANY COMMODITY

Dear Sir,

Subject : My / Our request for trading in commodity forward contracts / commodity derivatives on All Exchanges as your client

I/We, the undersigned, have taken cognizance of circular no. MCX/S&I/300/2017 dated August 23, 2017 issued by the Multi Commodity Exchange of India Ltd. (MCX), circular no NCDEX/TRADING-114/2006/247 dated September 28, 2008 issued by the National Commodity & Derivatives Exchange Limited (NCDEX), circular no. ICEX/Trading/2012/220 issued by the Indian Commodity Exchange Limited (ICEX) and SEBI Curcular No. SEBI / HO/CDMRD/DMP/CIR/P/2016 dated September 27, 2016 or any other circulars issued by SEBI/Exchange from time to time on stated matter on the guidelines for calculation of net open positions permitted in any commodity and I/We hereby undertake to comply with the same. I/We hereby undertake that I/we do not trade through any Trading Member other than Globe Commodities Limited.

OR

I/We hereby declare that I/we are also trading in Commodities through _____ (name of the Trading Member)

having Member ID _____ in MCX NCDEX ICEX under the

Client ID _____ and through _____ name of the Trading Member having Member ID _____

in MCX NCDEX ICEX under the Client ID _____.

I/We hereby declare and undertake that I/we will not exceed the position limits prescribed from time to time by MCX/NCDEX/ICEX or SEBI and such position limits will be calculated in accordance with the contents of above stated circulars of all exchanges as modified from time to time.

I/We undertake to inform you or keep you informed if any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/Trusts in which I or any of above such person is a partner/director/karta/trustee, take or holds any position in any commodity forward contract/commodity derivative on MCX/NCDEX/ICEX through you or through any other member(s) of MCX/NCDEX/ICEX, to enable you to restrict our position limit as prescribed by the above referred circular of MCX/NCDEX/ICEX/ as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your client on MCX/NCDEX/ICEX only on the basis of our above assurance and undertaking.

I/We further undertake to bear any liability/penalty/charges levied by MCX/NCDEX/ICEX for the non compliance of the aforesaid circulars or as modified from time to time.

Yours faithfully

Sign here : (10) 

FATCA & CRS DECLARATION (FOR NON-INDIVIDUAL)

Please tick the applicable tax resident declaration -

I. Is "Entity" a tax resident of any country other than India Yes No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Sr. No.	Country	Tax Identification Number%	Identification Type (TIN or Other , please specify) %
1.			
2.			
3.			

%In case Tax Identification Number is not available, kindly provide its functional equivalent.

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

1. We are a, Financial institution <input type="checkbox"/> (Refer 1 of Part C) or Direct reporting NFE <input type="checkbox"/> (Refer 3(vii) of Part C) (please tick as appropriate)	GIIN <input style="width: 150px;" type="text"/> Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below Name of sponsoring entity _____ _____
GIIN not available (please tick as applicable)	<input type="checkbox"/> Applied for <input type="checkbox"/> Not obtained – Non-participating FI <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input style="width: 30px;" type="text"/> (Refer 1 A of Part C)

PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1. Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)	Yes <input type="checkbox"/> (If yes, please specify any one Stock Exchange on which the stock is regularly traded) Name of Stock Exchange _____
2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)	Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one Stock Exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of Stock Exchange _____
3. Is the Entity an active NFE (Refer 2c of Part C)	Yes <input type="checkbox"/> Nature of Business _____ Please specify the sub-category of Active NFE <input style="width: 30px;" type="text"/> (Mention code – refer 2c of Part C)
4. Is the Entity a passive NFE (Refer 3(ii) of Part C)	Yes <input type="checkbox"/> Nature of Business _____

UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)

Category (Please tick applicable category):

<input type="checkbox"/> Unincorporated association / body of individuals	<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Partnership Firm	<input type="checkbox"/> Limited Liability Partnership Company
<input type="checkbox"/> Others (please specify _____)	<input type="checkbox"/> Public Charitable Trust	<input type="checkbox"/> Religious Trust	<input type="checkbox"/> Private Trust

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN #			
Address			
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office
Tax ID %			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) §			

* To include US, where controlling person is a US citizen or green card holder

If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

% In case Tax Identification Number is not available, kindly provide functional equivalent

§ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

DECLARATION : I/We have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I/We hereby agree and confirm to inform Globe Commodities Ltd for any modification to this information promptly. I/We further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name	1.	2.	3.
Designation	1.	2.	3.
Signature	(1)	(1)	(1)

Place _____

Date ___/___/_____

*For detail terms & conditions in client copy

DECLARATION BY KARTA & ALL THE CO-PARCENERS (FOR HUF ONLY)

To,
GLOBE COMMODITIES LTD.
 804, Ansal Bhawan, I6, K. G. Marg, Connaught Place, New Delhi-I 10001

- Whereas the Hindu Undivided Family of.....is carrying on business in the firm name and style of..... at, we intent to deal or desire to have Commodities Trading Account with GLOBE COMMODITIES LTD. (hereinafter referred as Member). We undersigned, hereby confirm and declare that we are the present adult co-parceners of the said joint family; that Mr./Mrs..... is the present Karta of the said joint family.
- We confirm that affairs of HUF firm are carried on mainly by the Karta Mr/ Mrs. on behalf and in the interest and for the benefits of all the co-parceners. We hereby authorize the Karta on behalf of the HUF to deal with the member and the said trading member is hereby authorized to honor all instructions oral or written, given by him on behalf of the HUF. He is authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through the member on behalf of the HUF.

 He is also authorize to sign execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said HUF firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every co-parceners of the said joint family, including the share of the minor co parceners, if any.
- We undertake to advise the member in writing of any change that may occur in the Karta ship or in the constitution of the said joint family or of the said HUF firm and until receipt of such notice by the member who shall be binding on the said joint family and the said HUF firm and on our respective estates. We shall, however continue to be liable jointly and severally to the member for all dues obligations of the said HUF firm in the Member's book on the date of the receipt of such notice by the member and until all such dues and obligations shall have been liquidated and discharged.
- The names and dates of the birth of all the present minor & major co-parceners of the said joint family are given below. We also undertake to inform you in writing as and when each of the said members attains the majority and is authorized to act on behalf of, and bind the said HUF firm.

List of Family Members

S. No.	Name of the Co-parceners (Including Minor also)	Relationship with Karta	PAN No.	Address (if other than Karta's address)	Date of Birth	Signature
1.						
2.						
3.						
4.						
5.						
6.						

Note : For NCDEX clients, in case of adult family member provide copy of PAN card or any other ID proof (DL/Voter ID/ Passport). In case of Minor Family Member provide copy of age certificate (Birth Certificate/School Leaving Certificate).

Name of the HUF : _____

Signature of Karta with Rubber Stamp

Date : _____ Place : _____

Our services

- Equities
- Derivatives
- Commodities
- International Trading
- Currency Derivatives
- Portfolio Management
- Insurance
- Mutual Fund
- IPOs
- Online Trading
- DP Services
- Clearing Services
- Advisory Services
- Research
- Dedicated Private Client Group (PCG) Desk

For office use only

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Globe Commodities Ltd.

CIN NO. - U74899DL1993PLC055179

Regd. & Corporate Office : 804, Ansal Bhawan, 16 K.G. Marg, Connaught Place, New Delhi-110001

Tel.: 011-30412345, 40412345, 43666400, 43666566 • Fax : 011-41520276

Email : mail@globecapital.com, customercare@globecapital.com

In case of any grievances please write to commigr@globecapital.com

SEBI Regn. No. : INZ000024939

MCX - MCX/TCM/CORP/0628 • NCDEX - NCDEX/TCM/CORP/0004

ICEX - ICEX/TCM/CORP/0011