



Goldmine Commodities Pvt Ltd

With your investments all the way...

CLIENT REGISTRATION FORM



Registered Office : "GOLDMINE HOUSE", 4, Niranjani Nirakar Society, Nr. Shreyas Railway Crossing, Ahmedabad- 380 007.

Contact Detail : +91 79 2664 1080 Fax : +91 79 2660 7298

Website : www.goldmine.net.in

MEMBER : MULTI COMMODITY EXCHANGE OF INDIA LTD.
NATIONAL COMMODITY AND DERIVATIVES EXCHANGE LTD.
INDIAN COMMODITY EXCHANGE LTD.

TRADING MEMBER

	NCDEX	MCX	ICEX
Membership Code	00153	12760	1134
SEBI Regn. No.	INZ000053932		



Name of Member : Goldmine Commodities Pvt Ltd

	NCDEX	MCX	ICEX
Membership Code	00153	12760	1134
SEBI Regn. No.	INZ000053932		

Registered and Correspondence Office Address :	CEO Details : Name : Samir P. Gandhi Phone No.: 079-26688213. Email Id : samir@goldmine.net.in
"GOLDMINE HOUSE", 4/ Niranajan Nirakar Society, Nr. Shreyas Railway Crossing, Ahmedabad - 380007 Phone Nos. : 079-2664 1080 Fax No. : 079-2660 7298 Website : www.goldmine.net.in	Compliance Officer Name : Samir P. Gandhi Phone No.: 079-26688213. Email Id : samir@goldmine.net.in

For any grievance/dispute please contact Godmine Commodities Pvt Ltd on above address or email id grievance.goldmine@gmail.com and phone no.: 079-2664 1080. In case not satisfied with the response, please contact the concerned exchange(s) at

	Investor Grievance Cell Contact Details	Email Id
Multi Commodity Exchange of India Ltd.	022-66494070 022-67318888	grievance@mcxindia.com
National Commodity and Derivatives Exchange Ltd.	022-66406789	ig@ncdex.com
Indian Commodity Exchange Ltd.	022-40381546	grievance@icexindia.com

To,
Goldmine Commodities Pvt Ltd.
Shreyas Crossing
Ahmedabad-380007

Dear Sir/Mam,

I/We declare that I/We require the standard documents e.g Rights & Obligations Documents, Uniform Risk Disclosure Documents, Guidance note- Do's and Don'ts for trading on Exchanges etc.as per my/our following preference for the same:

☐ In Hard / Physical Copy ☐ In Electronic/Soft Copy

I/We declare that I/we have been also made aware that such documents including standard set of your KYC documents are published on your website www.goldmine.net.in. I/We are also aware that these documents in vernacular languages can also be downloaded from <https://www.mcxindia.com/membership/members-compliance/vernacular-language> also. If need arise, I/We will directly download the same for my/our records or reference.

X

Client Signature/Authorised Signatory (ies)

Date :

ACCOUNT OPENING KIT ---- INDEX OF DOCUMENTS			
S.No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY FMC & EXCHANGES			
1	KYC (Account Opening application form)	A. KYC Form – Document captures the basic information about the constituent	2-5
2	Check List	Instructions for Filling KYC Form	6-7
		B. Document captures the additional information about the constituent relevant to trading account	8-12
3	Uniform Risk Disclosure document (RDD)	Document detailing risks associated with dealing in the commodities market.	Included in client copy
4	Rights and Obligations of Members, Authorized Persons and Clients	Document stating the Rights & Obligations of member, Authorized Person and client for trading on exchanges (including additional rights & obligations in case of internet / wire less technology based trading).	
5	Do's and Don't for the Investor	Document detailing do's and don'ts for trading on exchange, for the education of investors.	
6	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the Commodity Exchange(s)	15
7	Policies & Procedures	Documents describes significant policies and procedures of the Broker	16-20
VOLUNTARY DOCUMENTS AS PROVIDED BY THE COMMODITY BROKER			
8	Running Account Authorization	For the operational convenience, if a client is dealing frequently and wishes to avoid exchange of funds and commodities for every exchange on a daily/due date basis, this document may be signed by the client authoring broker to keep the account as running account across all exchanges	13-14
9	FATCA - CRS Declaration (Non-Individual)	Details of ultimate beneficial owner including additional FATCA & CRS Declaration for Non-Individuals	21-22
10	FATCA-CRS Declaration (Individual)	FATCA & CRS Declaration by all account holder(s)	23-24
11	Electronic Contract NOTE	Note (ECN) - DECLARATION (VOLUNTARY) Appendix - A Declaration for Receiving Contract Note (S) Trading Email	25
12	Letter Giving Details Of Authority representative Authority by the client	Letter Giving details of representative Authority by the client	26
13	Consent for trading in commodity Options in the KYC	Consent for trading in commodity Options	27-28
14	Acknowledgment and confirmation	Acknowledgment and confirmation	29

☐ 4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction E at the end)

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

Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1*
Line 2
Line 3 City / Town / Village*
State* ZIP / Post Code* ISO 3166 Country Code*

☐ 5. CONTACT DETAILS

FAX Tel. (Res) Mobile
Email ID

• I hereby declare that the aforesaid mobile number belongs to ☐ Me or ☐ My family (spouse, dependent and dependent parents.)

• I hereby declare that the aforesaid E-mail Id belongs to ☐ Me or ☐ My family (spouse, dependent children and dependent parents.)

☐ 6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

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

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative
Prefix First Name Middle Name Last Name

Name*
(If KYC number and name are provided, below details of section 6 are optional) Tel. (Off)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)

☐ A- Passport Number Passport Expiry Date
☐ B- Voter ID Card
☐ C- PAN Card
☐ D- Driving Licence Driving Licence Expiry Date
☐ E- UID (Aadhaar)
☐ F- NREGA Job Card
☐ Z- Others (any document notified by the central government) Identification Number
☐ S- Simplified Measures Account - Document Type code Identification Number

☐ 7. REMARKS (If any) (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

8. APPLICANT DECLARATION

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

- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : Place :



[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Document Required ☐ Certified Copies

KYC VERIFICATION & IN-PERSON VERIFICATION (IPV) CARRIED OUT BY

Date
Emp. Name
Emp. Code
Emp. Designation
Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name **GOLDMINE COMMODITIES PVT LTD**
Code

[Institution Stamp]



DETAILS OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLE TIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC)
APPLICATION FORM FOR NON-INDIVIDUALS

Name of Applicant: _____ PAN of the Applicant: _____

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Sr. No.	PAN	Name	DIN (For Directors)/ Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, wholetime directors etc.)	Photograph
						Please affix the recent passport size photograph and sign across it
						Please affix the recent passport size photograph and sign across it
						Please affix the recent passport size photograph and sign across it
						Please affix the recent passport size photograph and sign across it
						Please affix the recent passport size photograph and sign across it



Name & Signature of the Authorised Signatory(ies)

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM (NI)

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
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 foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCICard 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.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the school leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. 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 Government, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/document with applicant's Photo, 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.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or sale Agreement of Residence/Driving License/Flat Maintenance bill / Insurance Copy.
2. Utility bills like Telephone Bill (only and line), Electricity bill or Gas bill - Not more than 2 months old.

3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court Judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank/Multinational Foreign Banks /Gazetted Office/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued 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.
7. For FII/sub account, Power of Attorney given by FII/Sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/ clarification to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs. 50,000/- p.a
5. In case of Institutional clients, namely, FIIs, MFs, VFCs, FVCIs, scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card detail with the original PAN card and provide duly certified copies of such verified PAN detail to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational 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 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 partnership firms only) • 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 • Authprized 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

For Individuals and Non-Individuals

A. OTHER DETAILS

1. Gross Annual Income details (please specify) : Income Range (Per Annum) : (Tick where applicable)

☐ Below Rs. 1,00,000 ☐ Rs. 1,00,000 To Rs. 5,00,000 ☐ Rs. 25,00,000 To 1,00,00,000

☐ Rs. 5,00,000 To Rs. 10,00,000 ☐ Rs. 10,00,000 To Rs. 25,00,000 ☐ Above Rs. 1,00,00,000

 Net Worth Amount as on (date) (DD/MM/YYYY)

(Net Worth should not be older than 1 year)

2 Occupation (please tick any one and give brief details :

☐ Private Sector Service ☐ Public Sector Service ☐ Government Service

☐ Business ☐ Professional ☐ Agriculturist

☐ Retired ☐ House Wife ☐ Student ☐ Others (Specify)

 3. Please tick if applicable : 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) ☐

4. Name, PAN, residential address & photographs of promoters / partners / karta / Trustees and whole time directors (if you have a landline Connection, Kindly Provide the same.)

B. BANK ACCOUNT(S) DETAILS

Bank Name : _____ Bank Account no. _____

Branch address : _____

Account Type: Saving ☐ Current ☐ Others-In ☐MICR Number : IFSC Code :

Note : Provide a copy of cancelled cheque leaf/Pass Book /Bank statement specifying name of the client , MICR Code or /and IFSC Code of the Bank

C. DEPOSITORY ACCOUNT(S) DETAILS, IF AVAILABLE																			
Depository Participant Name	Depository Name NSDL / CDSL	Beneficiary Name	DP ID								Beneficiary ID (Client ID)								

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

D. TRADING PREFERENCES			
<i>*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.</i>			
Sr.No.	Name of the National Commodity Exchanges	Date of Consent for trading on concerned Exchange	Signature of the Client
1	Multi Commodities Exchange of India		
2	National Commodity and Derivatives Exchange		
3	Indian Commodity Exchange Ltd.		
4			

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.

E. INVESTMENT /TRADING EXPERIENCE
<input type="checkbox"/> No Prior Experience <input type="checkbox"/> _____ Years in commodities <input type="checkbox"/> _____ Years in other investment related fields.

F. SALES TAX REGISTRATION DETAILS (As applicable, State wise)	
• Local Sales Tax State Registration No.	: _____
• Validity Date	: _____
• Name of the State	: _____
• Central Sales Tax Registration No	: _____
• Validity Date	: _____
• Other Sales Tax State Registration No.	: _____
• Validity Date	: _____
• Name of the State	: _____

G. VAT DETAILS (As applicable, State wise)

- Local VAT Registration No. : _____
- Validity Date : _____
- Name of the State : _____
- Other VAT Registration No. : _____
- Name of the State : _____
- Validity Date : _____

H. PAST REGULATORY ACTIONS

Details of any action/proceedings initiated/pending/ taken by FMC/ SEBI / Stock exchange / Commodity exchange/any other authority against the client or its Partners/promoters/whole time directors/ authorized persons in charge during the last 3 years: _____

I. DEALINGS THROUGH OTHER MEMBERS

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

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

Exchange: _____

Exchange's Registration number: _____

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

Registered office address: _____ Ph: _____

Fax: _____ Email: _____ Website: _____

Client Code: _____

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

J. INTRODUCER DETAILS (optional)

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

Status of the Introducer : Authorized Person ☐ Existing Client ☐ Others

please specify _____

Address and phone no. of the Introducer : _____

Signature of the Introducer : _____

K. ADDITIONAL DETAILS

- Whether you wish to receive communication from member in electronic form on your E mail Id (Yes / No)

If Yes then please fill in Appendix -- A

Email id : _____

L. NOMINATION DETAILS (for individuals only)

☐ I/We wish to nominate ☐ I/We do not wish to nominate

Name of the Nominee: _____

Relationship with the Nominee : _____

PAN of Nominee : _____

Date of Birth of Nominee : _____

Address and phone no. of the Nominee : _____

M. Nominee is a minor, details of guardian :

Name of guardian : _____

Address and phone no. of Guardian : _____

Signature of guardian : _____

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

Name _____ Name _____

Signature _____ Signature _____

Address _____ Address _____

DECLARATION

1. 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 change therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

2. I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary-non-mandatory documents.

3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Do's and Dont's'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on our designated website,

Place : _____

Date : _____



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



Client risk categorisation under PMLA: (Tick (✓) any one) ☐ Low risk ☐ Medium risk ☐ High risk

CSC ☐ Yes ☐ No

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

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

For **GOLDMINE COMMODITIES PVT LTD**

Date:- ____/____/____

Authorised Signatory



ALL EXCHANGES RUNNING ACCOUNT AUTHORIZATION

To,

VOLUNTARY

Date : __/__/____

Goldmine Commodities Pvt Ltd.

RUNNING ACCOUNT AUTHORIZATION

- 1 I/We intend to have regular running account with you for all exchanges i.e. NCDEX/MCX/ICEX we request you not to make payment of funds and /or commodities on settlement to settlement basis (daily basis). Kindly make payment of funds and/or commodities, securities only on my/our request to you. In case if the funds / commodities , securities are lying with the exchange , I/We understand that it will take three working days to get the receipt of the same to me/us. I/We authorize you to adjust the credit balance of funds and/or securities, commodities against the subsequent/previous settlement of the exchange. I / We also request you to consider the credit balance in my account for funds and/or commodities, securities as margin money. You may inter transfer the funds and/or commodities between NCDEX / MCX. & ICEX You may utilize the margin of funds and / or commodities /securities for placing with the exchanges, custodians. I/We can revoke such authorization on written intimation to you at anytime.
- 2 I/We may place order either personally or by telephone. I/We do not need the order confirmation, modification, cancellation or trade confirmation slips. So kindly do not give us three printouts.
- 3 I/We hereby undertake and confirm that I/We will not make any cash payment to the company or its representative under any circumstances and if so paid to any of the Representative/Employee/ Authorized Person, it shall not be the responsibility of Goldmine Commodities Pvt Ltd. We clearly understand that the company never accepts money in cash.
- 4 I/We have thoroughly understood all the terms and conditions of the company and also aware of the rules, regulations and bye law for dealing in commodity market as an investor/trader. I/We shall remain updated on regular basis about the rules and regulations of the exchanges, SEBI and all other regulatory authorities.
- 5 I/We undertake that I/We shall do trading activity for our own purpose and not on behalf of any other entities.
- 6 I/We have noted that you are doing proprietary trading on your own account.
- 7 I/We have received the soft copy of the file encryptor program for opening/viewing the digitally signed contract notes, bills, statements etc.
- 8 There are no criminal and/or civil cases pending against me in any court of law. I/We have never been convicted of any offense by the police and/or court of law.
- 9 There are no actions taken against me by SEBI, exchange and/or any regulatory authorities. There are no cases pending against me/us. I undertake to inform you in writing in future if any such incident happens to me/us immediately.
- 10 I/We am/are not a Politician and/or not exposed as associated with any political party nor a family member and/or close relative of a politician.
- 11 I/We agree that all fines/penalties/charges etc levied upon you by MCX/NCDEX/ICEX or any other Regulatory Authority for my/our transaction/deals/actions/mistakes are recoverable by you from my/our accounts.
- 12 In the event I/we am/are found to have indulged in any manipulative, fraudulent and/or unfair trade practices or to have committed a breach of the capable laws, regulations, guidelines, byelaws, by my/our act or omission, whether directly or indirectly, I/we shall be solely liable for the consequences thereof, including but not limited to financial losses and the penalties, restrictions or the other action imposed or taken by appropriate authority.
- 13 Any communication sent by you to me/us shall be deemed to have been properly delivered or served, even if such communication is returned to you as unclaimed/refused/undelivered, if the same is sent to the ordinary business address and or ordinary place of residence and/or last known address of the party.
- 14 I/We agree to inform/update you any change in any or all the details provided to you on time to time
- 15 The Client shall not hold member responsible for any losses incurred on account of failure of System/Risk management System/Network Congestion/Loss of Connectivity from Dealing Office / Place to member or from member to the Exchange.
- 16 I/We have thoroughly understood all the terms and conditions of the company and also aware of the rules, regulations and bye laws for dealing in commodities market as an investor. I/We shall remain updated on regular basis about the rules and regulations of exchanges, SEBI and all other regulatory authorities.
- 17 I OPT FOR MONTHLY SETTLEMENT ☐ QUARTERLY SETTLEMENT ☐
- 18 QUARTERLY / MONTHLY SETTLEMENT: I/We understand that, as per regulations, Client's ledger Account with Stock Brokers is required to be settled to zero once in every month or once in every quarter depending upon the preference indicated by the client. I/We request you to settle our ledger account as well as securities/commodities account to zero once in every

quarter, for all segments taken together or on different dates for different settlements as may be feasible. You may retain such amount of funds and/or securities, commodities as would be required to meet obligations on open positions as on the date of settlement and for settlement Obligations or margin obligations for ensuing 5 days. I/We undertake to inform you in writing any Discrepancy that I/we may find in statement of account(s) and statement of securities, commodities forwarded to me/us pursuant to such settlement(s), within 7 days from the date of receipt of such statements.

- 19 While settling my / our A/c on quarterly / monthly basis, you are hereby authorised to retain balance up to ` 10,000/- or any such limit shall be prescribed by SEBI/Exchanges in future. In case of credit balance of less than `10,000/- or any such limit shall be prescribed by SEBI/Exchanges in future. No quarterly / monthly settlement may be done.
- 20 **About Electronic Contract Notes etc. :** I/We do hereby request to receive ECN, statement of accounts, daily margin statement and such other information/notice etc. to my/our Email Account/ID as mentioned in KYC form, In case of any change, I/We shall promptly communicate in writing to you about the same.
- 21 I/We understand that errors might be committed by dealers/ computer operators resulting in punching of wrong client codes while making order entry. Exchange rules provide for modification for such wrongly entered client codes to correct client codes. I/we undertake to sign such papers/documents as may be required for the purpose of authentication for client code modification as and when required.
- 22 My/our funds lying with you may be used for the purpose of depositing the same with the exchange for the purpose of margin or placing FDR with banks which may be submitted to the exchange/ clearing corporation for margin or used as collateral for obtaining bank guarantees for meeting margin/ additional base capital requirement of exchange/ clearing corporation.
- 23 I/we authorize you to use securities/commodities deposited by me/us with you to further use the same for meeting margin/additional capital requirements of the Exchange by pledging or depositing the same in any manner as may be required as per exchange rules and regulations
- 24 I/We acknowledge that you shall not be liable to provide me/us with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a commodity trading. I/We also acknowledge that your employees are not authorized to give any such advice and that I/We shall not solicit or rely upon any such advice from you or any of yours employees. I/We agree that in the event of you or any your employee or official providing any information, recommendation, or advice to me/us, I/We may act upon the same at the sole risk and my/our cost and you shall not be liable or responsible with respect to my/our investment decisions and transactions. Your officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of mine/ours.
- 25 I/We hereby give my consent to validate my Aadhaar Number with UIDAI. Also Update/Link my Aadhaar based on my PAN in my account(s) and other due diligence purpose in line with PMLA requirements. I also authorise you to download/share my Aadhaar& Associated Demographic information with SEBI Registered Intermediaries likes KRA, Mutual Funds and also with Central KYC Registry.
- 26 I/We hereby agree that Stock Broker or the exchanges shall not be liable for non-execution of any order caused due to suspension, interruption, non-availability or malfunctions of the online as well as offline trading service or the exchange system or services for any reasons whatsoever.
- 27 I/We shall update my/our financial information on yearly basis and I/We shall provide necessary proof i.e Income Tax return, Bank Statement, Annual Accounts, Salay Slip etc. as may be required by you. I/We shall aware that in case of non-submission of above details, my/our trading may be restricted by the stock broker with out any notice. I/We shall not allowed to trade until I/We submit the required financial documents to the stock broker.
- 28 I/We are aware that as per SEBI circular no. CIR/HO/MIRSD/MIRSD2/CIR/P/2017/108 dated 26.09.2017, All the conversation related to order placement between me/us/ my/our representative and Goldmine by the way of phone/mobile calls will be recorded by Goldmine and I/We hereby specifically permit the Goldmine to do so. Such recording may be relied upon by Goldmine as valid evidence as and when required and the same shall be produce to the relevant authority/ies.

I/We understand that the aforesaid consents are purely voluntary and have been given to you smoother operations of my/our client account with you as our broker and then only, I/we have put my/our signature only after proper understanding.

Client Code :

X

Signature of Client/Authorized Signatories

TARIFF SHEET FOR TRADING ACCOUNT

Brokerage	1 st Leg		2 nd Leg	
	%age	Min.	%age	Min.
Trading				
Delivery				
Options (Per lot)				

Goods & Service Tax (GST) stamp duty, commodity Transaction Tax (CTT), Transaction charges, SEBI fees would be Levied by the relevant authorities on each Transaction and are subject to change from time to time.

(X)

Signature of Client / Authorised Signatory (ies)

CLIENT DECLARATION - OPEN INTEREST POSITION

I/We, the undersigned, have taken cognizance of circulars issued by Regulator / Commodity Exchanges from time to time 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 declare and undertake that I / we will not exceed the position limits prescribed from time to time by Commodity Exchanges or Regulator and such position limits will be calculated in accordance with the circulars on position limits as modified from time to time.

I/We undertake to inform you and keep you informed if I / 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, takes or holds any position

in any commodity forward contract / commodity derivative on Exchanges through or through any other member (s) or Exchanges, to enable you to restrict our position limit as prescribed by the above referred circular of Exchanges as modified from time to time.

I / We confirm that you have agreed to enter order in commodity forward contracts / commodity derivatives for me / us as your clients on commodity Exchanges only on the basis of our above assurances and undertaking.

I/We further undertake to bear any liable / penalty / charges levied by Commodity Exchanges / Regulator.

(X)

Signature of Client/ Authorised Signatory(ies)

Date :

POLICIES & PROCEDURES

This document contains policies and procedures defined/ devised and followed by Goldmine Commodities Pvt Ltd. ('GOLDMINE' or 'Broker') which it applies or adopts while providing services as a stock broker on Multi Commodity Exchange of India Ltd. ('MCX'), National Commodity & Derivatives Exchange Ltd. ('NCDEX'), and Indian Commodity Exchange Ltd. ('ICEX') (collectively herein after referred to as 'the Exchanges') to its clients. The purpose of the document is to communicate these policies and procedures to clients of Goldmine.

The policies and procedures stated herein below are subject to change from time to time at the sole discretion of Goldmine, depending on market conditions, requirements prescribed by Exchanges, Regulators or any other Government Authority, its risk management framework etc.

Goldmine shall endeavour to keep its clients updated about such changes through regular and timely display of updated documents on its website and through direct/indirect communications to clients to the extent possible. The client may, if he or she so wishes, obtain an updated copy of this document by specifically requesting in writing.

REFUSAL OF ORDERS

In view of the risks associated in dealing with illiquid futures contracts/ options, Goldmine would generally advise its clients to desist from trading in them. Further, SEBI, Exchanges or Goldmine may issue circulars or guidelines necessitating exercising additional due diligence by the clients, for dealing in such commodities.

Goldmine may refuse to accept orders for execution of trade by a registered client under the following circumstances:

- a. If Goldmine forms an opinion that the order is not placed with a genuine trading or investment objective.
- b. If Goldmine forms an opinion that there is exceptional volatility in the market in general or in market for that particular derivative contract and execution of trade under such situation may expose it to very high risk.
- c. If Goldmine forms an opinion that the price of the derivative contract does not reflect its fundamentals for market factors and the same is the result of market manipulation orchestrated or perpetrated by unknown entities.
- d. While accepting an order for illiquid derivative contracts for which either the Regulator or the Exchange have raised caution flag in any manner whatsoever, Goldmine shall make such inquiries as it may deem fit and shall undertake such review of the fundamentals and technical factors of the underlying commodity and/or trading pattern of the underlying and/or its derivatives as it may find necessary, and may accept or reject such order based on its assessment. Apart from Exchanges and Regulator identifying illiquid derivative contracts, Goldmine may have its own criteria in deciding whether a derivative contract is illiquid or not.
- e. Goldmine does not allow clients to trade in illiquid derivative contracts. The measure of liquidity changes from time to time and from underlying to underlying.
- f. Trading in commodities of the types enumerated above will be allowed to the client at the sole and absolute discretion of Goldmine. Such commodities may be blocked in a normal trading system and any dealings in such commodities will be allowed only on the approval of risk management department as it may deem fit. Goldmine may restrict the quantity of order of such commodities if the client is allowed to buy/sell.
- g. Trading in commodities market take place on screen based online computerized trading environment which is dependent on efficient functioning of network equipment, computers and software. In the event of malfunction or problem in any of these ingredients, Goldmine may not be able to place client's order in such circumstances. Such inability on the part of Goldmine may result in loss of opportunity or notional loss to the client as prices may have moved during the time taken in resolving the technical issues which may have resulted in non-execution of order. Such risk is inherent systemic risk. Goldmine shall not be responsible for such opportunity loss or notional loss and shall not reimburse the client for such amount.
- h. Goldmine has to maintain margin deposits with the Exchange and the same is monitored by Exchange on real time basis. Margin rates are based on parameters defined by Exchanges and SEBI. These parameters may change during the course of the day on account of volatility and price movements. In the event of change of values of some of the

parameters, applicable margin rates may change one or more times during the day. Exchanges disable trading terminal of those brokers who might have fully utilized to the extent of 100% of their deposits. This situation may arise on account of change in the margin rates or sudden surge in clients' orders resulting in deposits being exhausted. Under such circumstances, Goldmine may not be able to accept fresh orders from client on account of its inability to execute the same. This may result in loss of opportunity or notional loss to the client as prices may have moved during the time taken in resolving the operational issues which may have resulted in non-execution of order. Such risk is operational risk inherent to trading in commodities market. Goldmine shall not be responsible for such opportunity loss or notional loss and shall not reimburse the client for such amount.

CLIENT'S EXPOSURE LIMIT

The Commodity derivatives markets are usually very volatile and different clients have different risk profiles. Volatility amongst different commodities and different derivatives contracts are different. Business Rules, Bye laws and Regulations of the Exchanges require Brokers including Goldmine to obtain upfront margin from clients.

All these factors taken together create a challenging environment where Goldmine, apart from setting allowable trading limits for different clients Differently, has to often modify or change such trading limits several times during the day if situation so demands.

The trading limit setting policies enumerated below are to be taken as basis for understanding policies implemented by Goldmine and the same may not be rigidly followed and may be changed from time to time on account of factors stated above. The averments contained in these statements are not promises made by Goldmine to its clients and they do not confer any rights to clients to demand that their trading limits at all times will be set according to these policies.

- a. Exposure limits to the client will be provided based on the available margin in the client's broking account maintained with Goldmine.
- b. The exposure limits will be a certain multiple of the available margin. Such multiplier will be as decided by Goldmine from time to time and may vary from client to client, on a case-to-case basis Goldmine, as its sole and absolute discretion, may allow higher exposure limits to the client.
- d. Available margin for the purpose of granting exposure is calculated as a sum of free credit balance of the client in Goldmine's books, margin in the form of funds, securities, bank fixed deposit, bank guarantee, commodity balances either in demat or warehouse Receipt form etc. of the client available with Goldmine.
- e. While granting the exposure limit, margin in the form of securities and commodity balances will be valued as per the latest available closing price on NSE or BSE or as available on Commodity Exchanges, respectively after applying appropriate haircut as may be decided by Goldmine at its sole discretion.
- f. Goldmine may from time to time depending on market conditions, profile and history of the client, type and nature of scripor commodities, etc., at its sole discretion charge/change the rate of haircut applicable on the securities or commodities given as margin, multiplier for granting exposure and take such steps as Goldmine may deem appropriate.
- g. The Client will have to abide by the exposure limit set by Goldmine.
- h. In case of client being granted exposure limit as a multiple of available collateral value, the same is granted on client undertaking that
 - (i) The client will square off open positions, margin on which is in excess of available collateral value etc. at least 30 minutes prior to end of trading hours for those derivative contracts in which client has open position, to the extent such as to reduce his open position to such level on which margin applicable is equal or less to the value of collateral etc.
 - ii) Upon the MTM loss on open position reaching 80% of the available collateral value or at discretion of Goldmine depending the client's risk profile.

APPLICABLE BROKERAGE RATE

a Goldmine charges brokerage to its clients at rates not exceeding the maximum chargeable as prescribed by exchanges/SEBI, which is at present 1% in case of non-delivery transactions and 2%(plus expenses) in case of transactions resulting in to delivery. The actual brokerage rates chargeable to a client will be as per the terms agreed

with the client at the time of client registration. It is hereby further clarified that brokerage on commodity options contracts shall not exceed 1% of the premium amount or Rs. 100/- (per lot) whichever is higher.

Goldmine may charge brokerage on commodity option contracts expiring worthless and option contracts exercised/assigned. In case of low value commodities, Goldmine may prescribe minimum brokerage per commodity which may exceed 1% of the value of the transaction.

The brokerage rate at no point of time will exceed the rates as may be specified by the Exchanges/SEBI from time to time.

The brokerage rate may be varied in future as agreed between the client and Goldmine either in writing or orally from time to time. In case of oral agreement, if the brokerage is charged at such revised rate in contract note subsequent to revision and the client does not raise any dispute on such brokerage within the time period stipulated on the contract note then the same will be considered as consented by the client.

IMPOSITIONS OF PENALTY/LATE PAYMENT CHARGES

Imposition of Penalty:

The Exchange/ Clearing Corporation / SEBI levies penalties on the broker for irregularities observed by them during the course of business. Goldmine shall recover such imposed penalties/ levies, if any, by the Exchange/Regulatory, from such clients on account of whose dealings such penalties/levies have been imposed. Few of the examples of violations for which penalties may be levied are as under:

- a Auction of commodities pursuant to short deliveries by the client.
- b Non adherence to client level exposure limits
- c Short margin reporting in any segment as may be stipulated by the respective Exchange.
- d Any other reason which may be specified by the Exchanges/ Clearing Corporation/SEBI from time to time.

Such recovery would be by way of debit in the ledger of the client and amounts would be adjusted in client ledger account.

Further, if client does not make payment against its settlement obligation or margin obligation with the stipulated pay in time, the late/delay payment charges at the rate of 18% per annum shall be charged on weekly basis. Such late payment charge should not result in frequent late payment by the client and must not be termed by the client as funding provided by the broker.

LIQUIDATION OF CLIENT'S OPEN POSITION

Goldmine requests the prospective clients to refer to RIGHTS & OBLIGATIONS and RISK DISCLOSURE DOCUMENT wherein Broker's rights to sell commodities purchased by the client and to close out open positions of the client are adequately defined. For the sake of clarity, the circumstances and procedures relating to such close out or sale of commodities are explained below.

a The existing margining systems and Exchange Regulations require that Goldmine collect up front margin from its customers; and Exchanges require margin deposits in the form and manner prescribed which is monitored online by the Exchanges on post trade basis. Goldmine is also required to report daily the details of margin required to be collected from each client having open position and margin collected from each of such client. Shortages in collection would amount to non-compliance with Exchange Regulations and may result in penalties and even suspension of trading. Credit balances and collateral available in client's ledger account is first appropriated against debit for MTM settlement and balance available together with collaterals if any deposited by the client, valued as per defined norms should be sufficient to meet applicable margin requirement at the commencement of trading

on the next day. Any shortages will have to be made good by clients before commencement of trading.

b. In the event of client not meeting margin obligations as applicable, Goldmine may square off its outstanding positions and sell off collaterals, to the extent required, without prior written or oral notice or intimation to the client, to ensure that the open positions of the client is backed by sufficient margin. In case of MTM loss of client on open position reaching 80% of the available collateral value or at discretion of Goldmine depending the client's risk profile, client's open position shall be squared off.

c. Goldmine may not exercise its rights of squaring off or liquidating collaterals in all cases at all times. This may happen

due to client making promise of payment or deposit of collaterals in due course, which Goldmine may rely upon. Non exercise of its rights by Goldmine should not be construed as allowing client the right to keep open positions without sufficient margin.

RESTRICTIONS/PROHIBITION TO TAKE FURTHER POSITION OR CLOSING EXISTING POSITION

Under any of circumstances, such as client's failure to meet Pay-In or margin obligations or clearance of outstanding/debit balance with broker before permissible time limit or beyond such period as may be allowed by broker, the client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligation, outstanding etc. Further, it would be the duty of the client to monitor his/her/its position with the Broker from time to time. In case of any delay or failure in meeting any obligation, margin requirement etc. from client side, broker might close the existing position or open position WITHOUT ANY FURTHER INTIMATION to the client, Such Circumstance include (but not limited to) :

- (i) Failure to meet Pay-In obligation on Pay-In Day.
- (ii) Delay in meeting the Pay-In or margin requirement.
- (iii) Delay or failure in clearance or outstanding or dues to the broker,
- (iv) Returning or frequent returning of cheques of the client,
- (v) Unnecessary/Unwarranted dispute from client without any substantial cause/reason, settled without Involvement of Exchange and/or SEBI.
- (vii) As per prevalent RMS policy of the Broker.
- (viii) Any direction from SEBI/Exchange or such other authorities.
- (ix) Under such other circumstances as the Broker might think just and proper on case to case basis..

Goldmine may take actions under this policy with or without giving any notice or intimation to the client. Goldmine will not be responsible for any opportunity loss or actual loss to the client in the event of any action taken by it pursuant to this policy.

SUSPENDING/CLOSING/DEREGISTERING THE TRADING ACCOUNT

Without prejudice to Goldmine's rights and remedies available under the Agreement, Goldmine may forthwith, at its sole and absolute discretion, de-register/suspend the client with/without prior notice/intimation in the following circumstances:

- a. If the client makes request for deregistration in writing.
- b. If Goldmine is satisfied and believes that the client is not interested in executing transactions through Goldmine.
- c. If the client is not maintaining his account as per the requirements and Goldmine wishes to sever the Relationship with the client after giving such due notice as stipulated in Member Client Agreement.
- d. Where the client indulges in any irregular trading activities like synchronized trading, price manipulation, trading in illiquid commodities/ options/contracts, self-trades, trading in commodities at prices significantly away from market prices, etc.
- e. Any enquiry/investigation initiated by the Exchanges/regulators against the client;
- f. Any regulatory action taken/initiated against the client by the Exchange/regulators including but not limited to debarring the client from accessing the commodity market;
- g. Where name of the client apparently resembles with the name appearing in the list of debarred entities published by SEBI/ Exchanges (where no information other than name is available);
- h. Name of the client appears in database/websites of CIBIL, Watch Out Investors, World Check, etc.;
- i. The client having suspicious back ground or link with suspicious organization;
- j. Where the client is non-traceable, has pending disputes with Goldmine, possibility of a default by the client;
- k. Any other circumstances leading to a breach of confidence in the client for reasons like return of undelivered couriers citing reason of 'No such person/ Addressee left/ Refusal to accept mails, etc., continuous cheque bouncing, or not

furnishing the Financial and other details as may be called for by Goldmine from time to time, etc.

l. Upon receipt of written information about the death of the client;

m. Such other circumstances which in the sole opinion of Goldmine warrants to de-register the client.

In all such cases, Goldmine shall have the right to close out the existing open positions/contracts, sell/liquidate the margin (in any form) to recover its dues, if any, before de-registering/suspending the client.

POLICY FOR INACTIVE /DORMANT CLIENT

In Any account(s) in which no transactions took place during the period of 1 year from the date of last transactions, the same shall be considered as dormant/Inactive. Such transactions date may be relate to any of the following date, whichever is later.

- a) Entry related to contract or bill generation for buy/sell transactions or
- b) Entry related to payment of funds or commodities

To designate the client's account as Dormant/Inactive account, the period of 12 months shall be counted from the last day of respective month in which any of the aforesaid last transaction took place.

If the Exchanges for trading in which the client has indicated preference have their own time line and procedure for defining inactive clients, then the directive of the Exchange in this regard shall be applicable.

In order to reactivate the account, client needs to give reactivation request form duly signed by her/him at least 2 days in advance to the branch or the head office of the broker, along with the self-attested copy of the ID proof and income tax return/bank statement (last six month) or any other documents as may be required by the broker. Broker may, in its own discretion, waive/reduce the period of 2 days as the circumstances may warrant on case to case basis.

GENERAL:

Goldmine shall have the right at its sole and absolute discretion to amend/change/revise any of the above said policies and procedure at time in future and the same shall be binding on the client forthwith.

Any action taken by Goldmine in accordance with the policies and procedures mentioned herein above cannot be challenged by the client, and Goldmine shall not be liable to the client for any loss or damage (actual/notional) which may be caused to the client as a result.

X

Signature of Client/Authorised Signatory (ies)

Date :

Details of Ultimate Beneficial Owner Including Additional FATCA & CRS Information - Non Individual

Name of the entity

Type of address given at Goldmine ☒ Residential or Business ☒ Residential ☒ Business ☒ Registered Office

“Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes”

Customer ID / Folio Number

PAN Date of incorporation

City of incorporation

Country of incorporation

Entity Constitution Type ☐ Partnership Firm ☐ HUF ☐ Private Limited Company ☐ Public Limited Company ☐ Society ☐ AOP/BOI
Please tick as appropriate ☐ Trust H Liquidator ☐ Limited Liability Partnership ☐ Artificial Juridical Person ☐ FI ☐ FI ☐ FBI-I ☐ FBI-II ☐ FBI-III
☐ Bank ☐ Government Body ☐ Non Government Organization ☐ Defense ☐ Society ☐ Others specify _____

Please tick the applicable tax resident declaration -

1. 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)

Country	Tax Identification Number*	Identification Type (TIN or Other, Please specify)

- In case Tax Identification Number is not available, Kindly provide its function equivalent.
- In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number Or GHN, 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

FATCA & CRS Declaration

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

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

1. We are a, GIIN

Financial institution⁶ or ☒ Note: If you not have a GIIN but you are sponsored by another entity, please provide your sponsor’s
Direct reporting NFE⁷ ☒ GIIN above and indicate your sponsor’s name below

(please tick as appropriate) ☒ Name of sponsoring entity

GIIN not available (please tick as applicable) ☒ Applied for

If the entity is a financial institution ☒ Not required to apply for - please specify 2 digits sub-category¹⁰

☒ Not obtained - Non-participating FI

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 ¹ (that is, a company whose shares are regularly traded on an established securities market)	<p>Yes <input checked="" type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded)</p> <p>Name of stock exchange _____</p>
2. Is the Entity a related entity ² of a publicly traded company (a company whose shares are regularly traded on an established securities market)	<p>Yes <input checked="" type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)</p> <p>Name of listed company _____</p> <p>Nature of relation: <input checked="" type="checkbox"/> Subsidiary of the Listed Company or <input checked="" type="checkbox"/> Controlled by a Listed Company Name of _____</p> <p>Stock exchange _____</p>
3. Is the Entity an active ³ NFE	<p>Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section)</p> <p>Nature of Business _____</p> <p>Please specify the sub-category of Active NFE <input type="text"/> <input type="text"/> Mention code-refer 2c of part D)</p>
4. Is the Entity a Passive ⁴ NFE	<p>Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section)</p> <p>Nature of Business _____</p>

UBO Declaration

Category (Please tick applicable category): ☒ Unlisted Company ☒ Partnership Firm ☒ Limited Liability Partnership Company

☒ Unincorporated association / body of individuals ☒ Public Charitable Trust ☒ Religious Trust ☒ Private Trust

☒ Others (please specify _____)

- 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).
- *Owner-documented Ffi's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in From W8 BEN E*

Name - Beneficial owner / Controlling person	Tax ID Type - TIN or Other, please specify	Address - Include State, Country, PIN / ZIP Code &
Country - Tax Residency	Beneficial Interest - in percentage Type	Contact Details
Tax ID No. - Or functional equivalent for each country	Code¹¹ - of Controlling person	Address Type -

1. Name		Tax ID Type	Address	
Country	Type Code	<ul style="list-style-type: none"> Residence Business 		
Tax ID No. %	Address Type	<ul style="list-style-type: none"> Registered office 	ZIP	<div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> </div> State: <div>Country:</div>

1. Name	Tax ID Type	Address								
Country	Type Code • Residence • Business									
Tax ID No. %	Address Type • Registered office	ZIP <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table> State: Country:								

1. Name	Tax ID Type	Address									
Country	Type Code										
	• Residence • Business										
Tax ID No.[%]	Address Type	• Registered office	ZIP	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	State:	Country:

If passive NFE, Please provide below additional details.

(Please attach additional sheets if necessary)

PAN / Any other Identification Number <i>(PAN, Aadhar, Passport, Election ID, Govt. ID, Driving LicenceNREGA Job Card, Others)</i> City of Birth - Country of Birth	Occupation Type - <i>Service, Business, Others</i> Nationality Father's Name - <i>Mandatory if PAN is not available</i>	DOB - Date of Birth Gender - Male, Female, Other
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1. PAN	Occupation Type	DOB	DD/MM/YYYY
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City of Birth	Nationality	Gender	Male <input checked="" type="checkbox"/>	Female <input checked="" type="checkbox"/>
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Country of Birth	Father's Name	Others <input checked="" type="checkbox"/>
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2. PAN	Occupation Type	DOB	DD/MM/YYYY
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City of Birth	Nationality	Gender	Male <input checked="" type="checkbox"/>	Female <input type="checkbox"/>
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Country of Birth	Father's Name	Cal	/
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Country of Birth	Father's Name	Others <input checked="" type="checkbox"/>
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3. PAN	Occupation type	DOB	DD/MM/YYYY

City of Birth	Nationality	Gender	Male <input checked="" type="checkbox"/>	Female <input checked="" type="checkbox"/>
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Country of Birth	Father's Name	Others <input checked="" type="checkbox"/>
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Additional details to be filled by controlling person with tax residency / permanent residency / citizenship / Green Card in any country other India:

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

* In case Tax Identification Number is not available, Kindly provide function equivalent.

⁴Refer 3(iii) of Part D

⁵Refer 3(iii) of Part D

¹¹ Refer 3(iv) (A) of Part D

FATCA - CRS Terms and Conditions

- The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the income -tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.
- Should there be any change in any information provided by you, please ensure you advise promptly, i.e., within 30 days.
- Please note that you may receive more than one request for information if you have multiple relationships with Goldmine Commodities Pvt Ltd or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.
- If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number.
- It is mandatory to supply a TIN or functional equivalent the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

Certification

- I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information by me / us on this Form is true, correct, and complete. I/We also confirm that I / We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

[illegible]

			Place _____ Date / /
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FATCA/CRS Self Declaration Form (for Individuals)
(For Trading Account)

(Please seek appropriate advice from your professional tax professional on your tax residency and related FATCA & CRS guidance)

To,

Goldmine Commodities Pvt Ltd

Goldmine House

Shreyas Crossing , Ahmedabad—380007.

Part I- Please fill in the country for each of the following:

Country of Birth	
Country of Citizenship	
Country of Residence for Tax purposes #	
US Person (Yes/ No)	

Part II

If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent as issued in the specific country in the table below

TIN	
Country of Issue	
TIN	
Country of Issue	
TIN	
Country of Issue	

(In case of multiple TINs, all the TINs to be mentioned)

to include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USA

- In case any of the parameters in Part I indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in Part IV.
- In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate (Please also fill Part IV Self-Certification)

Reason: _____

Part III- Customer Declaration

(i) Under penalty of perjury, I/we certify that:

1. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person)
2. The applicant is an applicant taxable as a tax resident under the laws of country outside India. (This clause is applicable only if the account holder is a tax resident outside of India)

(ii) I/We understand that the Goldmine Commodities Pvt Ltd is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The Goldmine Commodities Pvt Ltd is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.



(iv) I/We agree that as may be required by domestic regulators/tax authorities the Goldmine Commodities Pvt Ltd may also be required to report, reportable details to CBDT or close or suspend my account.

(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature	
Name	
Date	
PAN Number	

Part IV- Self-Certification:

To be filled only if-

(a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or

(b) US person is mentioned as Yes in Part I, and TIN is not available

I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India

Signature	
Name	
Date & Place	
PAN Number	

(Passport ,Election Id Card, PAN Card,,Driving License, UIDAI Letter, NREGA Job Card,Govt. Issued ID Card)

For Officer use Only

Client Id		First Holder/Second Holder/Third Holder
Trading Code		



Electronic Contract Note (ECN) - DECLARATION (VOLUNTARY)

Appendix - A

To,

Goldmine Commodities PVT LTD

Dear Sir,

I, _____ a client with Member
M/S. Goldmine Commodities PVT LTD of MCX, NCDEX, ICEX undertake as follows:

- I am aware that 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 trader 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 contact 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 contact 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 : _____
Date : _____
Place : _____
Verification of the client signature done by. _____
Name of the designated officer of the Member _____
Signature _____



LETTER FOR AUTHORITY FOR TRADING ACCOUNT OPERATION - VOLUNTARY

To,
GOLDMINE COMMODITIES PVT LTD
Goldmine House
4, Niranjana Nirakar Society
Nr Shreyas Crossing
Ahmedabad-380007.

Ref : My/Our Trading Code _____ opened/ to be opened with you.

Dear Sir/Madam,

With reference to above I/We wish to authorize following representative to do all/any of the following on my/our behalf.

1. Placing/modifying/canceling orders on my/our behalf.
2. To receive/send confirmations on my/our behalf for orders placed, modified, cancelled.
3. Acknowledging contract notes issued by you to me/us for my/our trades.
4. All other communications from me/us to you.

Sr. No.	Name of the representative	Signature	Relation, if any
1.			
2.			
3.			
4.			

I/We also undertake to honor all obligations arising out/by virtue of this authority letter and I/We indemnify and shall keep Goldmine Commodities Pvt Ltd. indemnified from any and all costs, losses arising out of such orders.

This authority may be treated as a standing instruction until the same is revoked in writing by me/us

Thanking You,
I accept

Client Name : _____

Date : ____/____/____

X

Signature of Client / Authorised Signatory(ies)

Encl : Self attested Identity & Address proof of authorized representative



Voluntary Document

To,

GOLDMINE COMMODITIES PVT LTD

Shreyas Crossing
Ahmedabad-380007.

Dear Sir / Madam,

Sub: Consent for trading in Commodity Options in the KYC Client Code:- _____

PAN No. _____

1. I/We _____ are registered with you as a client for trading in commodity derivatives.
2. I/We understand that SEBI has allowed trading in commodity options. Exchanges are soon likely to launch option contracts with commodity or commodity derivatives as underlying.
3. I/We have gone through the additional risk disclosure document sent by you and have appraised myself/ourselves with the risk of trading in commodity options.
4. I/We are interested in trading in commodity options and hereby accord my/our consent to trading in commodity options with confirmation of having received additional risk disclosure document disclosing risk of trading in commodity options.
5. 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.

Yours Sincerely,

Signature of Client :-

Name of Client:- _____

Place:-

Date:-

Note : In case of existing clients who are Corporate/ Trust/ Partnership, a resolution from Board of Directors/ Trustees/partners is required clearly stating that the Corporate/ Trust/ Partnership are authorized to trade in Commodity Options and they intend to trade in Commodity Options on recognized Exchanges

FORMAT OF BOARD RESOLUTION

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF M/S. _____ LTD. AND HAVING ITS REGISTERED OFFICE AT _____ HELD ON DATED _____ AT AHMEDABAD.

Resolved that the company be and is hereby authorised to accord its consent to trading in Commodity Options on recognized Exchanges, which it is authorised to do as per Company's Articles and Memorandum of Association, through our trading account with M/S GOLDMINE COMMODITIES PVT. LTD. Member of the Multi commodity Exchange of India Ltd. (MCX). National Commodity & Derivatives Exchange Ltd. (NCDEX) & Indian Commodity Exchange Ltd (ICEX) etc. and the said Trading Member be and is hereby authorized honor instructions, oral or written, given on behalf of the company by any of the under noted authorized signatories:-

Sr. No.	Name	Signature with stamp

Who is / are authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through GOLDMINE COMMODITIES PVT. LTD. on behalf of the company.

RESOLVED FURTHERS THAT Mr. _____, Authorized signatory of the company be and are hereby authorized to sign, to authorize, to execute and to make payments and to give effect to this resolution.

AND RESOLVED FURTHER THAT the common seal of the company affixed, wherever necessary, who shall sign the same in token of the presence.

CERTIFIED TRUE COPY

For _____

Managing Director/Company Secretary

Date:-

Place:-



To,
GOLDMINE COMMODITIES PVT LTD
Goldmine House
4, Niranjani Nirakar Society
Nr Shreyas Crossing
Ahmedabad-380007.

Dear Sir / Madam,

Sub: Acknowledgment and confirmation

I/ We confirm that, I/we have received the following documents from you and that I/We have read and understood the contents of the same.

1. Index of documents explaining brief significance of the documents.
2. Rights and obligations of Members, Authorised persons and clients
3. Risk Disclosure Document
4. Guidance Note-Dos & don'ts
5. Policies & Procedures
6. Tariff sheet

- I/We have been explained the above documents as required by me/us. I/We have been informed that these documents are also available on your website www.goldmine.net.in
- I/We have also been explained all the voluntary documents, their significance and that I/we have right to disagree with all or any of them. Having understood all these documents and after careful evaluation of each of them, I/we have agreed to abide by the said documents. I/We have also put my/our signature(s) wherever required.
- I/We confirm that I/we have been informed that Goldmine Commodities Pvt. Ltd. is engaged in proprietary trading i.e. trading in securities, Commodities market on its own account.

X

Client Signatory / Authorised Signatory (ies)

Date:-____/____/____