



NAVJEEVAN
UNLIMITED TRADES. UNLIMITED SERVICE.

Application Kit

COMMODITY

Instructions / checklist 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 securities 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 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/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 along with 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.

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/ 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 the date of submission.)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary Public / Elected representatives to the Legislative Assembly/ Parliament / Documents issued by any Govt. or Statutory Authority.
6. 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.
7. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government 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 the 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. In case of non-individuals, additional documents are to be collected from the non-individual entity, over and above the POI and POA, as mentioned below.

Type of entity	Documents required
Corporate	Copy of 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 Memorandum and Articles of Association and Certificate of Incorporation Copy of Board Resolution for the investment in commodity market Copy of Board Resolution or declaration (on letterhead) naming the persons authorized to deal in the commodity derivatives on behalf of the company.
Partnership firm	Copy of balance sheets for the last 2 financial years (to be submitted every year) Copy of registration/partnership deed. Authorized signatories list with specimen signatures Photograph and copies of POI, POA & PAN of the partners.
Trust	Copy of balance sheets for the last 2 financial years (to be submitted every year) Copy of registration/trust deed. List of trustees certified by managing trustees/CA Photograph and copies of POI, POA & PAN of the trustees.
HUF	PAN of HUF Deed of declaration of HUF & list of copartners Bank statement/passbook of HUF Photograph, POI, POA & PAN of Karta
Government bodies	Self-certification on letterhead Authorized signatories list with specimen signatures
Registered society	Copy of Registration Certificate under Societies Registration Act List of Managing Committee Members Committee resolution for persons authorized to act as authorized signatories with specimen signatures True copy of society rules and bye laws certified by the Chairman/Secretary

G. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/ and IFSC Code of the bank should be submitted.

H. Proof of income: A recent month salary slip/6-month bank statement/demat holding statement.

I. Demat master or recent holding statement issued by DP bearing name of the client.

For Individuals:

- a. Stockbroker has an option of doing 'in-person' verification through web camera at the branch office of the stockbroker/sub-broker's office.

For non-individuals:

- a. Form needs to be initialized by all the authorized signatories.
- b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/others & their specimen signatures.

S. No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/checklist.	3
2	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the commodity exchange(s).	7
3	Rights and Obligations of Members, Authorized Persons and Clients	Document stating the Rights & Obligations of stock broker/trading member and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Annexure
4	Uniform Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the commodity market, including commodity options.	Annexure
5	Do's and Don'ts for the Investors	Document detailing do's and don'ts for trading on exchange for education of investors	Annexure
6	Policies and Procedures	Document describing significant policies and procedures of the Broker.	Annexure
VOLUNTARY AND OPTIONAL DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
7	Annexure - N	Disclosure information	8
8	Annexure - O	Receipt of KYC, RDD, Rights & Obligations and Do's and Don't's	8
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Membership Details

Name of the Trading Member: Navjeevan Trade & Commodities Pvt. Ltd.

Exchange registration number: MCX - 16690 | NCDEX – 00348

SEBI Registration number: INZ000074331

Registered Office

B-92, Rajdhani Anaj Mandi, Sikar Road, Jaipur, Rajasthan 302013

Phone No.: 0141-3522700

Correspondence Address: Same as above

Compliance Officer: Mukesh Singh Kushwaha, Phone No.: 0141-3522712 & Email ID:

info@navjeevanbroking.com

CEO: Rachit Dangayach, Phone No.: 0141-3522710 & Email ID: rachit@navjeevanbroking.com

For any grievance please contact Navjeevan at the above address or email complaint@navjeevanbroking.com & Phone no. 0141-3522717.

For any grievance/dispute please contact Navjeevan at the above address, email ID or phone number. In case not satisfied with the response, please contact the concerned exchange at:

1. MCX at grievance@mcxindia.com or Phone No.: 022-67318888

2. NCDEX at askus@ncdex.com or Phone No.: 022-66406084


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 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.
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 'Dos and Don'ts'. 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 Member's designated website, if any.

Date

D	D	M	M	Y	Y	Y	Y
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Place:


Client Signature

For office use only

UCC Code allotted to the Client _____

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of 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 my/our website, if any, for the information of the clients.

Signature of the Authorized Signatory

Date :

D	D	M	M	Y	Y	Y	Y
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Seal/Stamp of the stocbroker

Tariff sheet

To

Navjeevan Trade & Commodities Private Limited

B-92, Rajdhani Anaj Mandi, Sikar Road, Jaipur, Rajasthan 302013

Charges for Navjeevan trading services

I/ We agree to pay the charges as per following charges structure for our trading account with Navjeevan effective from the time of account opening.

Client ID: _____

Charge Head	Offline Plan <input type="checkbox"/>	Online Plan <input type="checkbox"/>
MCX Commodity futures	Intraday: 0.03% Delivery: 0.30%	Rs. 15 per executed order or 0.03% whichever is lower
MCX Commodity options	Rs. 50 per lot	Rs. 15 per executed order
NCDEX Commodity futures	Intraday: 0.03% Delivery: 0.30%	Rs. 15 per executed order or 0.03% whichever is lower
NCDEX Commodity options	Rs. 50 per lot	Rs. 15 per executed order
Call & Trade Services	No Charges	Rs. 50 per trade

Clients who opt to receive physical contract notes will be charged Rs. 20 per contract note plus courier charges at actual. In addition to the brokerage charge the following charges will also be levied.

Schedule of Charges

Charge Head	Charges
Turnover Charges	Non-Agri: 0.0036% Agri: 0.00275%
Commodity Transaction Tax	0.01% on sell side (Non-Agri)
GST	18% on (brokerage + transaction charges)
SEBI Turnover Fees	INR 20/crore
Stamp Duty	State-wise stamp duty as applicable will be levied

Note: Brokerage will not exceed the rates specified by SEBI and the Exchanges. All Statutory and Regulatory charges will be levied at actuals. Brokerage is also charged on expired, exercised, and assigned Options contracts.

Turnover for Options is calculated as (Strike + Premium) * Lot Size

Detailed explanation of the Schedule of Charges is available online at:

<https://navjeevanbroking.com/charge-list>

Date


F5

Client Signature

Disclosure Information


Annexure - N

Dear Sir/Madam,

This is to inform you as per Rules, Regulations and Bye-laws of Multi Commodity Exchange of India Ltd. (MCX) that we do client based trading and Pro-account trading and we are not indulged in portfolio management services.

Regards,
 Navjeevan Trade & Commodities Private Limited

I/We acknowledge receipt of information given above by Navjeevan Trade & Commodities Private Limited that they do client base trading and Pro-account trading and they are not indulged in portfolio management services.

 **F6** Client Signature

To

Annexure - O

Navjeevan Trade & Commodities Pvt. Ltd.


B-92, Rajdhani Anaj Mandi, Sikar Road, Jaipur, Rajasthan 302013

Sub: Acknowledgement

This is to acknowledge the receipt of following documents. I further state and confirm that I have read and understood all the clauses of aforesaid documents.

Sl. No	Document
1	Duly Executed Copy of KYC
2	Rights and Obligations
3	Risk Disclosure Document (RDD), including RDD for trading options
4	Guidance Note - Do's and Dont's for trading on the Exchange(s) for investors
5	Policies and Procedures
6	Additional Rights & Obligations

I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of Navjeevan Trade & Commodities Pvt. Ltd.

 **F7** Client Signature

Letter of Authority (Voluntary)

Annexure - Q

Navjeevan Trade & Commodities Pvt. Ltd.

B-92, Rajdhani Anaj Mandi, Sikar Road
 Jaipur, Rajasthan 302013

Dear Sir,

I am/We are dealing in commodities with you and in order to facilitate ease of operations, I/we authorize you as under:

1. Authorization for Payment of Depository Participant Charges: I am having depository account with Navjeevan Trade & Commodities Pvt Ltd. I request you to debit my trading Account against the demand raised by the depository division of Navjeevan Trade & Commodities Pvt Ltd. towards my Depository Charges. I also agree to maintain the adequate balance in my trading account/ pay adequate advance fee for the said reason.
2. Authorization to Retain Credit Balance: I / We request you to retain credit balance in any of my / our account and to use the idle funds towards our margin/future obligations at the Exchanges unless I/ we instruct you otherwise.
3. Authorization for Communication of Financial Products: I/We have opened an account with you and am/are interested in knowing about other financial products. I/We authorize you, your group companies and associates to keep me/us informed with any financial product which Navjeevan Trade & Commodities Pvt. Ltd., its group companies and associates presently issue, deal in, or distribute or may, from time to time, launch, issue, deal in or distribute; through E-mail, SMS, telephone, print media or otherwise. This is without legal obligation on you, your group companies and associates to so inform and you or they may, in their discretion, discontinue sending such information.
4. Running Account Authorization: I/We am/are desirous of regularly dealing in commodity market on Commodity Exchanges and request you to maintain a running account for funds and commodities on/our behalf without settling the account on settlement of each transaction on my/our behalf. I/We further request you to retain all amounts payable and commodities receivable by me/us until specifically requested by me/us in writing to be settled or to be dealt with in any other manner. I/We understand and agree that no interest will be payable to me/us on the amounts or commodities so retained with you pending periodical settlement. This running account authorization would continue until it is revoked by me.

I/We request you to settle my fund and securities account (Choose one Option)

- ☐ Once in a calendar Month
- ☐ Once in every calendar Quarter except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt

All accounts with credit balances of Rs. 10000/- or lesser may be automatically retained and transfer of funds to the bank account may not be made as per SEBI circular MIRSD/SE/Cir-19/2009 & Exchange Circular Nos.MCX/INSP/325/2016 & NCDEX/COMPLIANCE-015/2016/238. 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 at your registered office.

5. I understand that in case my account is in debit balance @0.05% and/or if I have insufficient funds to manage my trading positions, I will be charged interest as delayed payment charges. I confirm having read the rules & regulation pertaining to the levy of such interest under the policies & procedures page on Navjeevan's website.

6. Authorization for not Providing Confirmation Slips: I/We 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.

7. Authorization for Providing Financial Ledger in Digital Form: I/we hereby authorize you to send me/us the financial ledger in the digital form in the prescribed form at my/our E-mail ID/Address.

Date




D	D	M	M	Y	Y	Y	Y
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Place :


F8
Client Signature

Nomination Form (Annexure 1A)

Navjeevan Trade & Commodities Pvt Ltd. B-92, Rajdhani Anaj Mandi, Sikar Road, Jaipur, Rajasthan – 301012										Form for Nomination (To be filled in by individual applying singly or jointly)														
Date		D	D	M	M	Y	Y	Y	Y	Client ID														
I / We wish to make a nomination (As per details given below)																								
I / We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																								
Nomination can be made upto three nominees in the account.										Details of 1 st Nominee					Details of 2 nd Nominee					Details of 3 rd Nominee				
1		Name of the nominee(s)																						
2		Share of each Nominee		Equally						%					%					%				
(If not equally, please specify percentage)						Any odd lot after the division shall be transformed to the first nominee mentioned in the form																		
3		Relationship with the Applicant (If Any)																						
4		Address of Nominee(s) City / Place: State & Country:																						
5		Mobile / Telephone No. of nominee																						
6		Email ID of nominee(s)																						
7		Nominee Identification detail – [Please tick any of the following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhar <input type="checkbox"/> Saving Bank Account <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account																						
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:																								
8		Date of Birth {in case of minor nominee(s)}																						
9		Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}																						
10		Address of Guardian(s) City / Place State & Country																						
11		Mobile / Telephone no. of Guardian																						
12		Email ID of Guardian																						
13		Relationship of Guardian with nominee																						
14		Guardian Identification detail – [Please tick any of the following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhar <input type="checkbox"/> Saving Bank Account <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account																						

Name(s) of holder(s)			Signature(s) of holder*
Sole / First Holder (Mr. / Ms.)			 F1 Client Signature
Second Holder (Mr. / Ms.)			 F2 Client Signature
Third Holder (Mr. / Ms.)			 F3 Client Signature

*Signature of witness, along with name and address are required, if the account holder affixes thumb impressions, instead of signature.

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s).

Declaration Form for opting out of Nomination

To,					Date	D	D	M	M	Y	Y	Y	Y
Navjeevan Trade & Commodities Pvt. Ltd. B-92, Rajdhani Anaj Mandi, Sikar Road, Jaipur, Rajasthan – 302012													
UCC/DP ID	1	2	0	5	8	3	0	0					
Client ID (Only for Demat Account)													
Client Code / UCC													
Sole / First Holder Name													
Second Holder Name													
Third Holder Name													
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.													
Name and Signature of Holder(s)*													
1. _____ 2. _____ 3. _____													

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.

From,

To,
Navjeevan Trade & Commodities Pvt. Ltd.
B-92, Rajdhani Anaj Mandhi,
Sikar Road, Jaipur,
Rajasthan 302013

Subject: Declaration for Confirmation of Signature Sir/Madam,

This letter is to confirm that all signatures placed on the account opening forms, and all such other documents towards Navjeevan Trade & Commodities Pvt. Ltd. or any of its group entities, are done solely by me with complete knowledge of all such terms and clauses contained therein.

I/We, the undersigned, would like to request Navjeevan Trade & Commodities Pvt. Ltd. or any of its group entities to accept the signed account opening forms and documents, even in case there may be slight variations on a few pages/areas of the document.

I/We, the undersigned, further would like to represent and warrant that in case of any misrepresentation with respect to the signatures placed on the account opening forms or all such documents towards Navjeevan Trade & Commodities Pvt. Ltd. or any of its group entities by me/us, I/We will indemnify Navjeevan Trade & Commodities Pvt. Ltd. and its directors/employees/agents for all such actions.

Yours faithfully,

Signature:

Name:
