



Application Kit

COMMODITY

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self-attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in commodity derivatives on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below-mentioned list.
3. If any proof of identity or address is in a regional language, then an English translation would be required.
4. Name & address of the applicant mentioned on the KYC form should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FIPB/FEMA guidelines and other applicable statutory approvals), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN number 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 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: (Note: 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 (landline), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement / Passbook -- Not more than 3 months old.
4. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/ Scheduled Co-operative Banks/Multinational Foreign Banks/Gazetted Officers/Notary Public/Elected Representatives to the Legislative Assembly / Parliament / Documents issued by any Government or Statutory Authority.
5. Identity card/document with address issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
6. The proof of address in the name of the spouse may be accepted.

D. Exemptions to PAN: (Note: Sufficient documentary evidence in support of such claims to be collected.)

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

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial / Co-operative Bank or
 - a. Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
 - b. 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 to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documents required
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in commodity market. • Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in commodity derivatives on behalf of company/firm/others and their specimen signatures.
Partnership firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). • Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF & List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
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.

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.	4
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
9	Annexure - Q	Letter of authority	9
11	Annexure - P	Additional Rights & Obligations	Annexure

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.
Ph : 0141-3522700

Correspondence Address: Same as above

Compliance Officer: Mukesh Singh Kushwaha, Phone No. & Email ID: 0141-3522712, compliance@navjeevanbroking.com
CEO: Rachit Dangayach, Phone No. & Email ID: 0141-3522710, rachit@navjeevanbroking.com
For any grievance, please contact Navjeevan at the above address or email complaint@navjeevanbroking.com & Phone no. 91-8040402020.

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:

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

ANNEXURE-1
KNOW YOUR CLIENT (KYC) APPLICATION FORM
(F or Non-Individuals)

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS

Name of the Applicant										
Date of Incorporation										
Place of Incorporation										
Date of Commencement of Business	D	D		M	M		Y	Y	Y	Y
PAN Number										
Registration Number (e.g. CIN)						Any other proof of identity				
Status	Pvt Ltd. Co. Public Ltd. Co. Body Corporate Partnership Trust HUF LLP Others (please specify): _____ <small>(In case of foreign entity or entity with foreign shareholders, a self-certified copy of statutory approval obtained must be attached).</small>									

B. ADDRESS DETAILS (Proof of address must be different from the proof of identity submitted)

Correspondence Address															
City / District / Village															
State						Country									
Pin Code (Compulsory)						Mobile									
Tel (Off)#						Tel (Res)#									
Email ID															
Specify the proof of address <small>(submitted for correspondence add)</small>															
Registered Address <small>(if different from above)</small>															
City / District / Village															
State						Country									
Pin Code (Compulsory)						Mobile									
Tel (Off)#						Tel (Res)#									
Email ID															
Specify the proof <small>(submitted for registered address, if any)</small>															

C. OTHER DETAILS

Gross Annual Income Details	<input type="checkbox"/> < 1 Lac	<input type="checkbox"/> 1-5 Lac	<input type="checkbox"/> 5-10 Lac	<input type="checkbox"/> 10-25 Lac	<input type="checkbox"/> 25 Lac to 1 Crore	<input type="checkbox"/> > 1 Crore				
or Net worth (Rs.) (Net worth should not be older than 1 year)				as on (Date)	D	D	M	M	Y	Y
Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and Whole Time Directors: _____ As per Annexure Z1										
DIN/DPIN/UID of Promoters/Partners/LLP Partners and Whole time Directors: _____ As per Annexure Z1										
Please tick as applicable	<input type="checkbox"/> Politically Exposed Person (PEP)		<input type="checkbox"/> Related to a Politically Exposed Person							
	<input type="checkbox"/> Not a Politically Exposed Person		<input type="checkbox"/> Not related to a Politically Exposed Person							

D. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank Account #	Account Type	MICR No.	IFSC Code
			Saving Current Others		
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.					

E. DEPOSITORY ACCOUNT(S) DETAILS, if available

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
Note: Provide a copy of either Demat Master or a recent holding statement issued by DP bearing name of the client.				

F. TRADING PREFERENCES

Note: Please sign in the relevant boxes against the Exchange with which you wish to trade. The Exchange not chosen should be struck off by the client.			
Sr. No.	Name of Exchange	MCX & NCDEX	
		MCX (F&O)	NCDEX (F&O)
		 F1	 F2
		Client Signature	Client Signature

G. INVESTMENT/TRADING EXPERIENCE

Investment Experience	<input type="checkbox"/> No prior experience
	____ Years in Commodities
	____ Years in other investment related fields

H. SALES TAX REGISTRATION DETAILS (As applicable, State wise)

Local Sales Tax (Details of all states where registered)	State	Registration No.	Validity Date
Central Sales Tax	Registration No.		
	Validity Date		

I. VAT DETAILS (As applicable, State wise)

Local VAT (Details of all states where registered)	State	Registration No.	Validity Date

J. PAST REGULATORY ACTIONS

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

K. 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 RegistrationNo	
Concerned Member's Name with whom AP is registered			
Registered Office Address			
Phone		Fax	
Email		Client Code	
Website			
Details of disputes / dues pending from / to such member / AP:			

L. INTRODUCER DETAILS (Optional)

Name of Introducer			
Status of the Introducer	Authorized Person	Existing Client	Others _____
Address & Ph. No. of Introducer			
Introducer's Signature			

M. ADDITIONAL DETAILS

Whether you wish to receive communication including contract note from member in electronic form on your Email ID

☐ Yes ☐ No

If yes, specify email ID: _____

Mode in which you wish to receive the RDD, Rights & Obligations, and Guidance Note:

☐ Physical ☐ Electronic


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 :

 F2 Client Signature
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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 Authorised Signatory

Date :

D	D	M	M	Y	Y	Y	Y
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Seal/Stamp of the stock broker

Tariff sheet

To

Navjeevan Trade & Commodities Pvt. Ltd.

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

D	D	M	M	Y	Y	Y	Y
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F3

Client Signature

Disclaimer 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 Pvt. Ltd.

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

 **F4** 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.

 **F5** Client Signature

Letter of Authority

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 :

 F6 Client Signature
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