



Commodity KYC Check List

Please read the following Instructions carefully before filling the Account Opening Form

- Please fill all information in CAPITAL LETTERS and with black/blue ball point pen only.
- Please paste (not staple) a passport size photograph (cross signature) on the space provided.
- Trading Accounts can not be opened in joint names.
- Please put full signature at places marked as (☞), wherever applicable.
- PIN code is mandatory in Address detail. Complete mobile and telephone no. should be mentioned with the STD/ISD codes.
- Witness column should be filled in clearly & legibly. Signature of witness (es) is mandatory and should be there on all required place.
- All documents copies require on A4 size paper with self attested and all Original Documents shall be required for verification purposes at the time of submission of form.
- PAN Card must be accompanied with any of the below mentioned document if photo on PAN Card is not visible.
(1) Voter ID Card (2) Passport / Driving License (Date of expiry should be more than six month from the date of our acceptance)

CHECK LIST FOR DOCUMENTS TO BE SUBMITTED

Individual Account:

- Recent Passport size colour photograph of Applicant
- Copy of PAN Card of Applicant (Self Attested)
- Copy of Permanent Address & Correspondence Address proof(s) in the name of Applicant(s)
Driving License / Passport / Ration Card / Voter ID card / Bank Passbook or Bank statement (not more than three months old) / Telephone Bill – Landline (not more than 2 months old) / Electricity Bill (not more than 2 months old)
- Copy of Cancelled Cheque of Applicant (If name not printed on cheque then Bank Passbook/Bank Statement must be required)
- Proof of Demat A/c (Client Master copy)

HUF Account:

- Recent passport size colour photograph of the KARTA
- Copy of PAN Card of HUF (Attested by Karta)
- Copy of Cancelled Cheque of HUF (If name not printed on cheque then Bank Passbook/Bank Statement must be required)
- Copy of Identity Proof of KARTA (Self attested)
- Copy of Address Proof of KARTA
- Proof of Demat A/c (Client Master copy)
- Declaration of HUF should be filled, signed and stamped (Annexure - 1)
- Affix rubber stamp at appropriate place.



Proprietorship Firm Account:

- Recent passport size colour photograph of the Proprietor
- Copy of PAN Card of Proprietor (Self attested)
- Copy of Cancelled Cheque of Proprietorship Firm (If name not printed on cheque then Bank Passbook/Bank Statement must be required)
- To verify Proprietor's name Bank Verification Letter require
- Copy of Address proof in the name of Proprietor as well as Proprietorship Firm
- Proof of Demat A/c (Client Master copy)
- Affix rubber stamp at appropriate place.

Partnership Firm Account:

- Recent Passport size colour photograph(s) of Authorized Partners
- Copy of PAN Card of all Partners & the Partnership Firm
(PAN details of Partnership Firm should be mentioned in space of PAN details in KYC form, PAN Card Xerox should be self attested by partners.)
- Copy of Address proof in the name of all Partners as well as the Partnership Firm.
- Copy of Cancelled Cheque of Partnership Firm (If name not printed on cheque then Bank Passbook/Bank Statement must be required)
- Proof of Demat A/c (Client Master copy)
- Notarized true copy of Partnership Deed
- Undertaking from partners (Annexure – 2)
- Affix rubber stamp at appropriate place.



Corporate A/c:

- **Photo copy of Company Pan Card**
(Attested by Authorized signatory with Rubber stamp)
- **Company Address Proof**
Form no-18 along with R.O.C. receipt OR Bank statement (not more than three months old) OR Telephone Bill – Landline (not more than 2 months old) / Electricity Bill (not more than 2 months old)
- **Copy of Cancelled Cheque of Company Name (If name not printed on cheque then Bank Passbook/Bank Statement must be required)**
- **Board Resolution**
(Annexure - 3)
- **Certified copy of Memorandum and Article of Association of Company**
(Sign with Rubber stamp on front page, incorporation page MOA & AOA-on 1st and last page)
- **Passport size photograph of Authorized signatories**
(Req. cross sign on photo with company rubber stamp on space provide on page no- ???)
- **Photo copy of Identity proof**
(Self attested Pan Card copy compulsory for Authorized signatory and Director Name mention as per Board Resolution)
- **Photo copy of Address Proof of Authorized signatories and Director.**
(Proof require as per Director Name mention in Board Resolution)
(Driving License / Passport / Ration Card / Voter ID card/ Bank Passbook or Bank statement (not more than three months old) Telephone Bill – Landline (not more than 2 months old) / Electricity Bill (not more than 2 months old)
- **Form no-32 with R.O.C. receipt (in case of change of Directors)**
(Require .if director name mention in Board Resolution but same director name not mention in Memorandum of Association and Article of Association.
- **List of all Director on company letter head** (Require as per attach Annexure - 4)
- **Latest share holding pattern** (Require as per attach Annexure - 5)
List of holding more than 5% of company share capital certify by-company secretary/director/M.D.
(To be submitted annually)
- **Certified True copy of Balance sheet with Audit Report**
Bal. Sheet and Audit Report should be for last two year (Not require incase of latest incorporate)
(Req. to submit every year)
- **Copy of Income Tax Returns of last Two Years**
- **Proof of Demat A/c (Client Master copy)**

All document of company require with Authorized/Director sign with company rubber stamp



ANNEXURE-1
DECLARATION BY KARTA & ALL CO-PARCENERS IN CASE OF HUF ACCOUNT
(This Declaration is to be obtained only if the Client is a HUF)

Monarch Comtrade Pvt. Ltd.

“MONARCH HOUSE”, Opp. Ishwar Bhuvan,
 Commerce Six Roads, Navrangpura
 Ahmedabad – 380 009

Date: _____

WHEREAS the Hindu Undivided Family of Mr. _____ is carrying on business in the firm name and _____ style of _____ at _____

_____ and we intend to deal, have or desire to have a Trading Account with **Monarch Comtrade Pvt. Ltd.** (hereinafter collectively referred to as 'Member'). We, undersigned, hereby confirm and declare that we are the present adult co-parceners of the said joint family; that Mr. _____ is the present Karta of the said joint family.

We confirm that affairs of the HUF firm are carried on mainly by the Karta Mr. _____ on behalf and in the interest and for the benefit of all the co-parceners. We hereby authorise the Karta Mr. _____ on behalf of the HUF to deal on **Commodity Market**.

Mr. _____ is authorised to sell, purchase, transfer, endorse, issue instructions, negotiate documents and / or otherwise deal through **Monarch Comtrade Pvt. Ltd.** on behalf of the HUF _____. He is also authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents writings and deeds as may be deemed necessary / expedient to open account and give effect to this purpose. We are however, jointly and severally responsible for all liabilities of the said HUF firm to the Member and agree and confirm that any claim due to the Member from the said HUF firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every co-parceners of the said joint family including the share of the minor co-parceners, if any.

We undertake to advise the Member in writing of any change that may occur in the Kartaship or in the constitution of the said joint family or of said HUF firm and until receipt of such notice by the member shall be binding on the said joint family and the said HUF firm and on our respective estates. We shall, however, continue to be liable jointly and severally to the Member for all dues obligations of the said HUF firm in the Member's book on the date of the receipt of such notice by the Member and until all such dues and obligations shall have been liquidated and discharged.

The names and dates of birth of the present co-parceners of the said joint family are given below. We undertake to inform you in writing as and when each of the minor members attains the age of majority and is authorised to act on behalf of, and bind the said HUF firm.

| Name of Minor co-parceners | Age | Relationship with Karta | Date of Birth |
|----------------------------|-------|-------------------------|----------------|
| _____ | _____ | _____ | ____/____/____ |
| _____ | _____ | _____ | ____/____/____ |
| _____ | _____ | _____ | ____/____/____ |

We have received and read a copy of the Member's rules and regulation for the conduct of Trading Accounts and we agree to comply with and be bound by the said rules now in force or any changes that may be made therein from time to time

| Name of KARTA | Age | Relationship with Karta | Signature |
|---------------|-------|-------------------------|------------------|
| _____ | _____ | _____ | _____ |
| | | | (With HUF Stamp) |

| Name of Adult Co-Parceners | Age | Relationship with Karta | Signature |
|----------------------------|-------|-------------------------|-----------|
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |



ANNEXURE-2
TO BE GIVEN BY PARTNERSHIP FIRM ON ITS LETTERHEAD

To,
Monarch Comtrade Private Limited
“MONARCH HOUSE”, Opp. Ishwar Bhuvan,
Nr. Commerce Six Roads, Navrangpura, Ahmedabad-380009

Date _____





Dear Sir/Madam

Sub: Operations of our client / trading account with you as our share broker.

We the partners of M/s _____, a partnership Firm incorporated under the provisions of Indian Partnership Act, do hereby agree, undertake and authorize as under:

1. We are carrying on our business at _____.
2. We desire to open a trading account with you for dealing in the buying and selling of the commodity in the commodity market and accordingly are ready to fill-up and submit your Client Registration form in the name of our firm for the purpose of buying and/or selling and otherwise dealing or investing in commodity market through you.
3. We the undersigned partners, be and is here by authorize Mr. _____, one of the partners / managing partners of our firm to sign, execute and submit all applications, forms, documents, agreements etc. as also to issue all the instructions for all our transactions with you as our share broker for securities trades, funds and investment etc. in our firm’s name.
4. We hereby agree and undertake that all the transactions carried out by you as per the instructions whether oral (telephonic or personal) and/or written, given by our aforesaid authorized partner, shall be binding upon our firm as well we all the partners individually and personally and our respective estates shall be personally liable for any dues to be paid to your, in case the firm’s estate falls short of, for carrying out such transactions in securities market.
5. We also hereby undertake to inform you in writing regarding any change in constitution or authority, signed by all the partners for the time being.

Signature of all Partners with Stamp:

| | |
|--------------------------------|--|
| (1) _____ (Name of Partner) |  _____ |
| (2) _____ (Name of Partner) |  _____ |
| (3) _____ (Name of Partner) |  _____ |
| (4) _____ (Name of Partner) |  _____ |



ANNEXURE-3
TO BE GIVEN BY COMPANY ON ITS LETTERHEAD
Format of Board Resolution

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF (COMPANY NAME) HELD ON (DATE) AT REGISTERED OFFICE OF THE COMPANY AT (COMPANY ADDRESS).

“RESOLVED THAT a Client Registration Account of the Company for dealing in the buying and selling of the commodity in the commodity market, be opened in the names and style of (COMPANY NAME), having its registered office at (COMPANY ADDRESS) with Monarch Comtrade Private Limited, Ahmedabad

“RESOLVED THAT the said broker Member be and is hereby authorized to honour all instruction regarding purchase, sale, dematerialization of shares and securities and other order made on behalf of the company by one of severally of the following authorized signatories of the company and to act upon any instruction so given relating to the said account whose specimen signatures as appended hereunder.

| Sr. No. | Name | Designation | Specimen Signature (With stamp) |
|---------|-------|-------------|------------------------------------|
| (1) | _____ | _____ | _____ |
| (2) | _____ | _____ | _____ |
| (3) | _____ | _____ | _____ |

“RESOLVED THAT Any one of the aforesaid Directors of the company, be and hereby severally authorized to make an application for opening the said account and to do all other formalities that are necessary for opening the said Client Registration Account or Trading Account including certifying Memorandum and Article of Association of the Company etc.

FOR and on behalf of (COMPANY NAME)

Board of Directors:

| Sr. No. | Name | Designation | Specimen Signature (With stamp) |
|---------|-------|-------------|------------------------------------|
| (1) | _____ | _____ | _____ |
| (2) | _____ | _____ | _____ |

Board of Directors (Minimum two Directors other than Authorize Signatory)/Chairman/Company Secretary



Annexure - 4

LIST OF ALL DIRECTORS

(ON COMPANY LETTER HEAD)

Sr. no.

Director name

Director colour
passport size
photograph with cross
signature and
company rubber
stamp on photo

FOR and on behalf of (COMPANY NAME)

Company Secretary/ Hole Time Director/ M.D



Annexure 5

SHARE HOLDING PATTERN

(ON COMPANY LETTER HEAD)

List of holding more than 5% of company share capital certify by-company secretary/director/M.D.
(To be submitted annually)

| Sr. no. | Name of share holder | No. of shares | Share as % of total number of shares |
|---------|----------------------|---------------|--------------------------------------|
| | | | |
| | | | |

FOR and on behalf of (COMPANY NAME)

Company Secretary/ Hole Time Director/ M.D