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Form No. 10610

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तनो लक्ष्मी: प्रचोदयात्

**VISHWAS**

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www.vishwasfincap.com

Welcome to Vishwas

Registration Kit (Vishwas Commodities Pvt. Ltd.)

For :  Individual  Corporate  HUF  Proprietorship Firm  Others

Branch Code	
Branch Name	
Client Code	
Client Name	
RM Name	
RM Code	

## A. CHECK LIST- INDIVIDUAL/HUF/MINOR/PROPRIETORSHIP FIRM

Documents	Identity	Address	Signature	Bank Proof
<input type="checkbox"/> PAN card with signature	Yes	No	Yes	No
<input type="checkbox"/> Passport (Clear copy of Name, Address & Photo)	Yes	Yes	Yes	No
<input type="checkbox"/> Driving License (Clear copy of Name, Address & Photo)	Yes	Yes	Yes	No
<input type="checkbox"/> Voter's Identity card (Both Front and Back)	Yes	Yes	Yes	No
<input type="checkbox"/> Ration card	No	Yes	Yes	No
<input type="checkbox"/> Bank Passbook/Banks Statement	Yes	Yes	Yes	Yes
<input type="checkbox"/> Name printed Cheque leaf along with bank Statement or bank Passbook	Yes	No	Yes	Yes
<input type="checkbox"/> Rent Agreement	Yes	No	Yes	No
<input type="checkbox"/> Electricity, Water, Landline Telephone Bill (Not more than 2 months old)	Yes	Yes	Yes	No

## B. COMPANIES / PARTNERSHIP FIRMS / OTHERS

Compulsory Documentary requirements for company, firms and other	Corporate and Body Incorporate	Partnership Firm
<b>Compulsory Requirement</b>		
<input type="checkbox"/> Pan Card of Company / Firm / Partners/Directors	Yes	Yes
<input type="checkbox"/> Certified copy of financial statements (Balance sheet Profit & Loss account for three years)	Yes	Yes
<input type="checkbox"/> Last three IT return (Partnership firm and Companies)	Yes	Yes
<input type="checkbox"/> Networth Certificate duly certified by Chartered Accountant	Yes	Yes
<input type="checkbox"/> Verified copy of Address proof (Agreement of Sale/Leave and Licence Agreement Bank Statement/Electricity & Telephone bill and any document registered with registrar of companie)	Yes	Yes
<input type="checkbox"/> Cancelled cheque leaf/Bank statement with name and A/c no. printed (of partners/directors also)	Yes	Yes
<input type="checkbox"/> Certified copy of latest shareholding pattern including those holding 5% or more in the share capital of the compamny/List of Director	Yes*	NA
<input type="checkbox"/> Certified copy of MOA and AOA Partnership deed in cse of Firm	Yes	Yes
<input type="checkbox"/> Certified copy of resolution of board of directors approving trading commodity and naming authorized persons fpr dealing in commodities	Yes	NA
<input type="checkbox"/> Partnership deed along with list of partners duly certified	NA	Yes
<input type="checkbox"/> Form 32 along with ROC receipt in case of change in Director	Yes	Na
<input type="checkbox"/> Form 18 along with ROC receipt in case of address change of the company	Yes	NA
<input type="checkbox"/> A passport size photograph of all the Authorised officials/Authorised partners	Yes	Yes

## C. OTHER REQUIREMENTS

- a. HUF**
- All documents as per Common list for both of HUF and it's Karta.
  - Undertaking letter signed by two Coparceners.
  - Recent Passport size Photo of Karta of HUF
  - Rubber stamp of HUF required on every sign of Karta.
- b. PROPRIETORSHIP FIRM**
- All documents as per Common for Proprietor.
  - Recent Passport size Phot of Proprietor.
  - Rubber stamp of firm required on every sign of Proprietor.
  - Declaration on letter of the firm as per annexure attached.
- c. MINOR**
- DMAT account will be in the name of proprietor only.
  - Proprietor name and relation verification on letterhead of bank by the Banker.
  - Certified copy of Balance sheet/Annual accounts for Last two years.
  - Latest Income tax return copy of Proprietor.
  - All documents as per Common list for both Minor and his/her Guardian.
  - Undertaking letter signed by the Guardian.
  - Recent Passport size Photo of both Minor and Guardian.

## IMPORTANT INSTRUCTIONS

- a. Please fill up the form in CAPITAL LETTERS.
- b. Please write your name as it appears in PAN/Bank proof in your documents. In case of any mismatch Delaration required.
- c. Form should be completed in all respects in opwn Handwriting by client only.
- d. Name, Address & Signature of witness on agreement part.
- e. Verification stamp with signature, name & date on the documents collected.
- f. If any of above proof is in language other than Hindi and English, Notarized copy for the same will only be accepted.
- g. Copy of Documentary evidence for address and identity proof of introducer.
- h. The information given above would be kept confidential.
- i. Pin code is compulsory in the address detail.
- j. Clients trading through any of SPOT Exchange, and willing to take DELIVERY must have a DEMAT Account in their name.
- k. It is MANDATORY to provide at least one E-mail ID and Mobile No.



## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

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

### 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 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 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"> <li>● Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>● 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).</li> <li>● Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>● Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</li> <li>● Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>● Copy of the Board Resolution for investment in commodity market.</li> <li>● 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.</li> </ul>
Partnership firm	<ul style="list-style-type: none"> <li>● Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>● Certificate of registration (for registered partnership firms only).</li> <li>● Copy of partnership deed.</li> <li>● Authorised signatories list with specimen signatures.</li> <li>● Photograph, POI, POA, PAN of Partners.</li> </ul>
Trust	<ul style="list-style-type: none"> <li>● Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>● Certificate of registration (for registered trust only).</li> <li>● Copy of Trust deed.</li> <li>● List of trustees certified by managing trustees/CA.</li> <li>● Photograph, POI, POA, PAN of Trustees.</li> </ul>
HUF	<ul style="list-style-type: none"> <li>● PAN of HUF.</li> <li>● Deed of declaration of HUF &amp; List of coparceners.</li> <li>● Bank pass-book/bank statement in the name of HUF.</li> <li>● Photograph, POI, POA, PAN of Karta.</li> </ul>
Government Bodies	<ul style="list-style-type: none"> <li>● Self-certification on letterhead.</li> <li>● Authorized signatories list with specimen signatures.</li> </ul>
Registered Society	<ul style="list-style-type: none"> <li>● Copy of Registration Certificate under Societies Registration Act.</li> <li>● List of Managing Committee members.</li> <li>● Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>● True copy of Society Rules and Bye Laws certified by the Chairman/Secretary</li> </ul>



Dear Customer,

**Welcome to VISHWAS GROUP**

We look forward to your becoming one of our client. We request you to complete the relevant set of documents/the Member-client agreement and submit the required legible and self attested documents as required to open trading account with us.

It shall be our endeavour as always to provide you truly satisfying services.

## SET OF ACCOUNT OPENING DOCUMENT

### Vishwas Commodities Private Limited

Registered & Correspondence office address: 310, Nangal Raya, Jail Road, Delhi Cantt., New Delhi 110046

Tel No: 011-47115501 to 5530: Fax No: 011 28112661

Web site: www.vishwasfincap.com : email: vishwas@vishwasfincap.com

Compliance officer: Ms. Ruchi Verma, Mobile: 9810600769, Email: rverma@vishwasfincap.com

CEO: Mr. Naresh Kumar Rana, Mobile: 9810066130 email: naresh@vishwasfincap.com

Member of Multi Commodity Exchange of India Limited (MCX): FMC Code: MCX/TCM/CORP/1055

Member Code (40940)

Member of National Spot Exchange Ltd: Member Code - NSEL 13270

S.No.	Document Description	Page No.
	<b>MANDATORY DOCUMENT</b>	
(i)	KYC (Account Opening) Application Form (Annexure - 1)	4-11
(ii)	Uniform Risk Disclosure Document (RDD) (Annexure - 2)	12-14
(iii)	Rights & Obligations of Members, Authorized Persons & Clients (Annexure - 3)	15-18
(iv)	Do's and Don'ts for the Investors (Annexure - 4)	19-20
(v)	Annexure - A/B/C	21-23
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(vii)	Member Client Agreement NSEL	25-26
	<b>NON-MANDATORY DOCUMENT</b>	
(viii)	Letter of Authority	27
(ix)	Request for Trading in Commodity forward Contracts/Commodity Derivatives on all Exchanges	28
(x)	Adjustment in Different Exchanges/Accounts	30
(xi)	Declaration by the User	30
(xii)	Client Defaulter Declaration	31
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(xiv)	Banker's Verification	32
(xv)	Declaration by Firm (Sole Proprietorship)	32
(xvi)	Declaration by Partnership	33
(xvii)	Specimen of Resolution	34
(xviii)	Acknowledgment	35

For any grievance/dispute please contact member Vishwas Commodities Private Limited at the above address or email id- Vishwas@vishwasfincap.com and Phone no. 91-011 47115501 to 5530. In case not satisfied with the response, please contact the concerned exchange(s) at grievance@mcxindia.com and Phone no. 91-022 67318888.

### BROKERAGE STRUCTURE

*Fill up as agreed*

	Percentage	Minimum Paisa	Minimum Per Transaction
Square off same day	<input type="text"/>	<input type="text"/>	<input type="text"/>
Square off another day	<input type="text"/>	<input type="text"/>	<input type="text"/>
Delivery	<input type="text"/>	<input type="text"/>	<input type="text"/>

**NOTE:**

- Transaction charges as per Exchange
- Stamp duty will be levied as per local laws.
- Service tax as per Service Tax Act.
- For Contract Notes in Digital format client to provide Appendix-A.
- Charges/service standards are subject to revision at sole discretion of Vishwas Commodities Pvt. Ltd.
- Charge Quoted above are for the services listed. Any service not quoted above will be charged separately.
- Management reserves the right to freeze, discontinue or suspend any account if required.
- A charge of Rs. 25/- per contract note will be levied for physical contract note if the client has already opted for digital contract note, as minimum processing fee.

I/We \_\_\_\_\_ have read the above given information and agree to pay the same

Signature of the Client : (1)

*[Handwritten Signature]*

(I) KNOW YOUR CLIENT (KYC) APPLICATION FORM

Annexure - 1

For Individuals

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

- Name of the Applicant: RAJ KUMAR GUPTA
- Father's/Spouse Name: RAM KUMAR GUPTA
- a. Gender: (Male/ Female) MALE
- b. Marital status: (Single/Married) MARRIED
- c. Date of birth: (dd/mm/yyyy) 07-10-1980
- a. Nationality: INDIAN
- b. Status: Resident Individual / Non Resident / Foreign National RESIDENT INDIVIDUAL  
(If Non Resident / Foreign National, self-certified copy of statutory approval obtained must be attached)
- a. PAN: AAPGJ4350N
- b. Unique Identification Number (UID)/Aadhaar, if available: NIL
- c. Any other additional proof of identity: NIL

PHOTOGRAPH  
Please affix your recent passport size photograph and sign across it

Should be same as given in PAN

COLOUR PHOTO SIGN ACROSS

B. ADDRESS DETAILS

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

- Address for correspondence: A-101, Nauak Pura  
City/district/village: Delhi Pin Code: 110070 State: Delhi Country: INDIA
- Contact Details: Tel. (Off.)# 011-37635436 Tel. (Res.)# 011-37763554 Mobile No.: 9867600339  
Fax: / Email id: RKGUPTA@YAHOO.CO.IN
- Specify the proof of address submitted for correspondence address: VOTER ID CARD
- Permanent Address (if different from above): SAME AS ABOVE  
City/district/village: \_\_\_\_\_ Pin Code: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_  
Tel. (Res.)# \_\_\_\_\_ Mobile No.: \_\_\_\_\_ Fax: \_\_\_\_\_ Email id: \_\_\_\_\_

IF DIFFERENT ATTACH PROOF

- Specify the proof of address submitted for permanent address, if any: /
- Gross Annual Income Details (please specify): Income Range per annum: Below Rs 1 Lac / 1-5 Lac / 5-10 Lac / 10-25 Lac / >25 Lacs or  
Net-worth as on (date) 31.3.2012 5 lacs (Net worth should not be older than 1 year)
- Occupation (please tick any one and give brief details): Private Sector/ Public Sector/ Government Service/Business/ Professional/ Farmer/ Others (Specify)
- Please tick, as 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) NA

D. BANK ACCOUNT(S) DETAILS

Bank Name	Branch address	Bank account no.	Account Type: Saving/Current/Others	MICR Number	IFSC code
<u>HDFC Bank</u>	<u>Barakhamba Road</u>	<u>03340000003733</u>	<u>Savings</u>	<u>110003789</u>	<u>HDFC000334</u>

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.

# If you have a landline connection, kindly provide the same



**E. DEPOSITORY ACCOUNT(S) DETAILS, if available**

*ONLY IN CASE OF NSEL OR DELIVERY TRANSACTION*

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 the National Commodity Exchanges #	Date of Consent for trading on concerned Exchange	Signature of the Client
1	MCX	13.08.2013.	<i>RKS</i>
2	NSEL	13.08.2013	<i>RKS</i>
3			

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

**G. INVESTMENT/TRADING EXPERIENCE**

No Prior Experience

2 years Years in Commodities

2 years Years in other investment related fields

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

Local Sales Tax State Registration No. : \_\_\_\_\_

Validity Date \_\_\_\_\_

Name of the State \_\_\_\_\_

Validity Date \_\_\_\_\_

Other Sales Tax State Registration No. : \_\_\_\_\_

Validity Date \_\_\_\_\_

Name of the State \_\_\_\_\_

**I. VAT DETAILS (As applicable, State wise)**

Local VAT Registration No. : N/A

Validity Date \_\_\_\_\_

Name of the State \_\_\_\_\_

Other VAT Registration No. : \_\_\_\_\_

Name of the State \_\_\_\_\_

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: NIL

*NOT REQUIRED IF NO DELIVERY*

**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'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: \_\_\_\_\_

**L. 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 \_\_\_\_\_

**M. ADDITIONAL DETAILS**

Whether you wish to receive communication from Member in electronic form on your Email-id [Yes / No] : yes.  
(If yes then please fill in Appendix-A)

**N. NOMINATION DETAILS**

I/We wish to nominate I/ We do not wish to nominate yes.

Name of the Nominee: Sangeeta Gupta Relationship with the Nominee: WIFE.

PAN of Nominee: AAPGR 4769 N. Date of Birth of Nominee: 15.06.1985

Address and phone no. of the Nominee: A-101, Nauak PURA. Delhi.

**If Nominee is a minor, details of guardian:**

Name of guardian: \_\_\_\_\_

Address and phone no. of Guardian: \_\_\_\_\_

Signature of guardian \_\_\_\_\_



