

To, Date: _____

M/s. Balaji Equities Limited
Plot no 125,
Durganagar colony, Ameerpet,
Hyderabad – 500 016

Sub: Activation of Additional Commodity Segment

Dear Sir/Madam,

With reference to my Trading Account Name _____, Account Code _____ with you, I request you to activate the following Exchanges / Segments in my trading

account:

Multi Commodity Exchange of India Ltd (MCX)	Futures	Options	Signature
Futures and Options	%	Rs.	

I/We confirm having read/been explained and understood the contents of the additional risk disclosure document for Option trading (Annexure 1)

I/We further confirm having read and understood the contents of the additional risk disclosure document for Option trading (Annexure 1) I/We do 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 Balaji Equities Limited website www.balajiequities.com.

Yours faithfully,



ACKNOWLEDEMENT BY CLIENT

I/We have received the Photostat copies of Rights and Obligation of stock brokers, and clients, Uniform Risk disclosure document, Risk disclosure document options, guidance note –do’s and don’ts for trading on exchange(s) for investors.

Signature: 

Date:

To
Balaji Equities Limited
Plot No 125, Durganagar Colony,
Hyderabad - 500016.

Dear Sir,

Sub: Authorization for maintaining Running Account

I/We hereby authorize you to maintain a Running Account with the following objectives:

1. I/we request you to keep my/our funds/securities payout/given in advance/given for Margin purpose/given as security deposit with you only and without insisting me/ us for taking payment/ delivery within 1 working day of the pay-out received from the exchange. I/we will specifically request you for the release of funds/ securities/ commodities and till that time I/we authorize you to retain the funds/ securities/commodities with you. I/we also hereby request you to do inter segment/inter exchange transfer of excess balances lying in my/our BSE/NSE/MCX accounts maintained with you.
2. Maintenance of funds/ securities/Commodities, which means that the actual settlement of funds and securities shall be done at least once in a calendar quarter/Month as the case may be.
3. In case I/we have any outstanding obligations on the settlement date, you have the right to retain securities/ funds as follow:
 - ❖ In respect of Derivative Market transactions, apart from margin liability as on the date of settlement, you have the right to retain additional margins (maximum up-to 125% of margin requirement on the day of settlement) to take care of any margin obligation arising in next 5 days.
 - ❖ In respect of Cash Market transactions, you have the right to retain the entire pay-in obligation of funds and securities due as on the date of settlement and for next day's business, you may retain funds/ securities/margin to the extent of value of transactions executed on the day of such settlement.
4. I/we reserve the right to revoke this authorization at any time.
5. In spite of this authorization, I/we shall retain the right to withdraw funds/securities/commodities at any time after submitting a formal request for the same.
6. I/we also undertake to bring any dispute arising from the statement of account or settlement so made preferably within 7 working days from the date of receipt of funds / securities or statement, as the case may be.
7. The running account authorisation will continue until it is revoked by me/us. My/Our preference for actual settlement of funds and securities is at least:
 - Once in a Calendar Quarter
 - Once in a Calendar Month
8. I/We hereby authorize M/s Balaji Equities Limited. to retain amount in my account up to Rs 10,000/ - (Net amount across segments and across stock exchanges) until specific instructions are given by me/us for release of the said amount. Further, I/ We understand that this threshold limit is not applicable in case I/We have not traded even once during the last one Month/Quarter as per the preference selected by me/us for settlement.

Yours Sincerely,



I/We am/are aware that National Stock exchange of India (NSE), Bombay Stock exchange (BSE), Multi Commodity exchange of India Ltd. (MCX) provides SMS/Email alerts to the constituents (clients) of its member for trades for trades executed on its platform. We/I hereby provide and confirm my/our mobile number and/or email address as stated below for the purpose of receipt of SMS/Email alerts.

I/we _____ having Client Code _____ do hereby opting for the following offered by Balaji Equities Limited and /or Stock Exchanges.

SMS and Email Email SMS I do not want any alerts facility (Pleas tick the appropriate box / facility opted)

The following is my/our Mobile Number and / or Email address:

Mobile No. _____, Email Address: _____

I declare that above mobile number is in my name/ in my family member's name (Self/Spouse/Dependent Parents /Dependent Children) (tick the relationship) having Client Code _____ with Balaji Equities Limited.

Further, I declare that above Email id is in my name/ in my family member's name Self/Spouse /Dependent Parents /Dependent Children) (tick the relationship) having Client Code _____ with Balaji Equities Limited.

We/I agree to the terms and conditions specified by the SEBI circular no.CIR/MIRSD/15/2011 dated August 02 2011, We/I are/ am aware that receipt of SMS/Email alerts on the above mobile number and/or email address can be stopped only on our/ my written request.

We are also aware that this is an additional facility provided by the exchange and we shall not rely or use such data for any purpose and NSE, BSE, MCX shall not be directly liable for any direct and indirect loss because of providing this additional facility.

In case of any changes in the above mentioned mobile number/email id. I/we will inform you immediately in written request. I will accept the alerts and information from BEL/Exchanges/CDSL related to trading and DP services on the above mentioned mobile number and email address.

Signature of Applicant 

ELECTRONIC CONTRACT NOTE (ECN) VOLUNTARY

I _____ a Client with Member M/s. Balaji Equities Limited of BSE,NSE,MCX of Exchange undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me 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 trades 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. (The e-mail id must be written in own handwriting of the client.)
- I am aware that this declaration form should be in English or in any other Indian language known to me.
- I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

[The above declaration and the guidelines on ECN given in the Form KYC have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note and do hereby take full responsibility for the same]

Signature of Applicant 

FORWARD CONTRACTS (VOLUNTARY)

My/Our request for trading in commodity forward contracts / commodity Exchange(s) on as client

I/We, the undersigned, have taken cognizance of circulars issued by SEBI/Commodity Exchanges 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 we will not exceed the position limits prescribed from time to time by Commodity Exchanges or SEBI and such position limits will be calculated in accordance with the circulars on positions 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 positions in any commodity forward contract/commodity derivatives on Exchange(s) through you or through any other member(s) or Exchanges , to enable you to restrict our position limit as prescribed by the above referred circular as mentioned from time to time.

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

Signature of Applicant 

STANDING INSTRUCTIONS (VOLUNTARY)

STANDING INSTRUCTIONS / AUTHORISATION LETTER (for Commodity segments)

1. I/We have been / shall be dealing through you as my broker on the Commodity Exchanges. As my broker i.e. agent / I / we direct and authorize you to carry out trading / dealing on my/our behalf as per instructions given below. Please treat these instructions as written ratification of my / our verbal directions / authorizations given and carried out by you earlier.
2. Pledge/deposit my/our deliveries & / or funds whether deposited as collateral / margin or permitted by us to be retained in the running account etc. by you with any bank or any institution including but not limited to the Exchange(s)/Clearing Corporation/Clearing House for the purposes of raising funds, bank guarantee and FDRs etc., or towards Margin/Collateral as also to meet shortfall in my / our funds / deliveries pay in obligation/auctions or assignment of contracts or any other liability arising out of my/our dealings with you / through you. I/we authorize you to do all such acts, deeds and things as may be necessary and expedient for placing such deliveries with the Exchange/banks/institutions as margin. You are further authorized to sell/ liquidate these deliveries/FDRs at the time and manner of your choice, as & when deemed fit by you in your absolute discretion to meet any short fall in my/our accounts or any other liability of mine / ours any reference to me/us.
3. In case I/we have any sale due to any exigencies I/We is/are unable to make available the delivery of the same in the designated account within the designated time and it is an inter client delivery at broker level, I/we hereby authorize you to make purchases of the same in the market on my behalf to make available the delivery to the opposite party only if you feel in your absolute discretion.
4. I/we hereby authorize you to debit charges for Comris/ CCRL, or other if applicable, to my/our trading account. Please treat this authorization as written ratification of my/our verbal directions/authorizations given and carried out by you earlier. I/we agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our directions given above.

Signature of Applicant 

Declaration of Client Categorization

Date:

To
Balaji Equities Limited
Plot No 125, Durganagar Colony,
Hyderabad - 500016.
Telangana.

Select () on the below appropriate category depending upon your proposed nature of your activity against each product type.

Commercial

Product type Specify below category

- Bullion _____
- Base Metals _____
- Energy __ _____
- Agri-Commodities _____

Non Commercial

Product type Specify below category

- Bullion _____
- Base Metals _____
- Energy _____
- Agri-Commodities _____

1. Commercial Client Includes Value Chain/Physical Market Participant/exporter/importer having Direct or Indirect exposure to the Commodity.
2. Non-Commercial: Non –Commercial Client includes Trader Arbitrager.

Yours Faithfully,



Client Name:
UCC Code: