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# Client Registration Form

## MCX

**PROGRESSIVE SHARE BROKERS PVT. LTD.**

Reg.Off.:122-123-124, Laxmi Plaza, Laxmi Industrial Estate,

New Link Road, Andheri (W), Mumbai - 400 053

Tel.: 022 40777500 Fax : 022 26305357 E-Mail : support@progressiveshares.com

Client Name \_\_\_\_\_

Branch \_\_\_\_\_

Client Code \_\_\_\_\_

THIS INFORMATION IS THE SOLE PROPERTY  
OF THE TRADING MEMBER/BROKERAGE  
HOUSE AND WOULD NOT BE DISCLOSED TO  
ANYONE UNLESS REQUIRED BY LAW OR EXCEPT  
WITH THE EXPRESS PERMISSION OF CLIENTS.

**Progressive Share Brokers (P) Ltd.  
is engaged in client based business and  
not doing proprietary trading**

<b>S. NO.</b>	<b>Name of the Document</b>	<b>Brief Significance of the Document</b>	<b>Page No</b>
<b>MANDATORY DOCUMENT AS PERSECRIBED BY SEBI &amp; EXCHANGE</b>			
1	KYC (Account opening ) Application form	KYC form – Document captures the basic information about The Constituent and an instruction / check list.	1-9
2	Uniform Risk Disclosure Document (RDD)	Document detailing risk associate with dealing in the Commodity market.	14-20
3	Rights and Obligations Of Members, Authoriszed Person and Client	Document stating the Rights & Obligation of Member, Authorised Person and Client for trading on exchanges (Including additional rights & Obligations in case of Internet / Wireless technology based trading.)	21-31
4	Do's and Don'ts for the Investors	Document detailing do's and Don'ts for trading on exchange, for the education of the investors.	32-34
5	Tariff Sheet	Document Detailing the rate/amount of brokerage and other changes levied on the client for trading on the Commodity Exchange(s)	6
<b>VOLUNTARY DOCUMENTS AS PROVIDE D BY THE MEMBER*</b>			
6	Electronic Contract Note (ECN) Declaration	Electronic Contract Note (ECN) Declaration	35
7	Consent Letter for SMS & Email.	Consent form for registration & verification of mobile number and email address for receiving trade alert through SMS and / or E-mail.	36
8	Request for trading in Commodity in	Request for trading in Commodity forward contracts / place their securities toward his/her margin obligation.	37
9	Request & authority for placement of securities collateral & withdrawal From margin	Consent through which client gives authority to place their securities towards his/her margin obligation.	38
10	Running Account Authorization	Authority to the Trading Member to Maintain a running Account.	38
11	HUF Declaration	Forms of Declaration to be given by Karta of HUF.	40
12	Letter of Authority	Letter of Authority	39
13	FATCA	FATCA/CRS Self Declaration Form	41-42

Name of member : **PROGRESSIVE SHARE BROKERS PVT. LTD.**

FMC Unique Membership Code (UMC) : MCX Member Id : 56315

: SEBI Regn No : INZ000 170 639

Registered & Correspondence office address : 122-123-124, Laxmi Plaza,  
Laxmi Industrial Estate, New Link Road,  
Andheri (W). Mumbai – 400 053.  
Tel. : 022 40777500 Fax : 022 – 2630 5357  
E-mail : support@progressiveshares.com  
Website: www.progressiveshares.com

Compliance officer name : Mr. Shyam Agrawal  
phone no. : 022 40777500  
email id : compliance@progressiveshares.com

CEO name : Mr. Anil Gaggar  
phone no. : 022 40777500  
email id : compliance@progressiveshares.com

For any grievance/dispute please contact **PROGRESSIVE SHARE BROKERS PVT. LTD.** at the above address or email id grievancecell@progressiveshares.com and phone no.91-022 40777500 In case not satisfied with the response, please contact the concerned exchange(s) at :

MCX : Phone No. 022-66494000 Email : grievance@mcxindia.com

\* You Can lodge Your grievance with SEBI at <http://scores.gov.in>



**Know Your Client (KYC)  
Application Form (For Individuals Only)**



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Equities | Derivatives | Commodities | Currency | Depository | Mutual Funds | NBFC | e-Broking

**First Holder**

Please fill in ENGLISH and in BLOCK LETTERS

Application No. :

**A. Identity Details (please see guidelines overleaf)**

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

Mother's Name

2. Gender  Male  Female B. Marital status  Single  Married C. Date of Birth  d  d /  m  m /  y  y /  y  y

3. Nationality  Indian  Other (Please specify) \_\_\_\_\_

4. Status Please tick (✓)  Resident Individual  Non Resident  Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN  Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any: \_\_\_\_\_

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

UID (Aadhaar)  Passport  Voter ID  Driving Licence  Others \_\_\_\_\_ (Please see guideline 'D' overleaf)

**PHOTOGRAPH**

Signature

Please affix the recent passport size photograph and sign across it

**B. Address Details (please see guidelines overleaf)**

1. Address for Residence/Correspondence

City / Town / Village  Pin Code   
State  Country

2. Contact Details

Tel. (Off.) (ISD) (STD)  Tel. (Res.) (ISD) (STD)   
Mobile (ISD) (STD)  Fax (ISD) (STD)   
E-Mail Id.

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please specify) \_\_\_\_\_

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted  d  d /  m  m /  y  y /  y  y

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village  Pin Code   
State  Country

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please specify) \_\_\_\_\_

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted  d  d /  m  m /  y  y /  y  y

6. Any other information: \_\_\_\_\_

**DECLARATION**

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I 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.

Place:

Date:



**SIGNATURE OF APPLICANT**

**FOR OFFICE USE ONLY**

IPV Done  on  d  d /  m  m /  y  y /  y  y

AMC/Intermediary name OR code \_\_\_\_\_

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
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/PIOCard/OCICard 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.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. 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. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
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. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. 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.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

### 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.

Please Submit the KYC Documents on A4 Size Paper Only.



Please fill in ENGLISH and in BLOCK LETTERS

Application No. :

**A. Identity Details (please see guidelines overleaf)**

1. Name of Applicant (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

2. Date of Incorporation [d][d] / [m][m] / [y][y][y][y] Place of Incorporation

3. Registration No. (e.g. CIN) Date of commencement of business [d][d] / [m][m] / [y][y][y][y]

4. Status Please tick (✓)  Private Ltd. Co.  Public Ltd. Co.  Body Corporate  Partnership  Trust / Charities / NGOs  HUF  FI  FII  
 FPI Category I  FPI Category II  FPI Category III  AOP  Bank  Government Body  Non-Government Organisation  
 Defence Establishment  Body of Individuals  Society  LLP  Others (Please specify)

5. Permanent Account Number (PAN) (MANDATORY) Please enclose a duly attested copy of your PAN Card

**B. Address Details (please see guidelines overleaf)**

1. Address for Correspondence

City / Town / Village Postal Code  
State Country

2. Contact Details

Tel. (Off.) (ISD) (STD) Tel. (Res.) (ISD) (STD)  
Mobile (ISD) (STD) Fax (ISD) (STD)  
E-Mail Id.

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Bank Account Statement  Registered Lease / Sale Agreement of Office Premises  
 Any other proof of address document (as listed overleaf). (Please specify)

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted [d][d] / [m][m] / [y][y][y][y]

4. Registered Address (If different from above)

City / Town / Village Postal Code  
State Country

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Bank Account Statement  Registered Lease / Sale Agreement of Office Premises  
 Any other proof of address document (as listed overleaf). (Please specify)

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted [d][d] / [m][m] / [y][y][y][y]

**C. Other Details (please see guidelines overleaf)**

1. Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors (Please use the Annexure to fill in the details)

2. Any other information:

**DECLARATION**

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.

Place: \_\_\_\_\_

Date: \_\_\_\_\_

**NAME & SIGNATURE(S)  
OF AUTHORISED  
PERSON(S)**



**FOR OFFICE USE ONLY**

AMC/Intermediary name OR code

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Seal/Stamp of the intermediary should contain  
 Staff Name  
 Designation  
 Name of the Organization  
 Signature  
 Date

## 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 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.
  10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
  11. 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. PAN card with photograph. This is mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D)
  2. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
  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. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
  8. The proof of address in the name of the spouse may be accepted.
- D. Exemption / clarification 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.
  3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
  4. SIP of Mutual Funds upto Rs 50,000/- p. a.
  5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRD Aand Public Financial Institution as defined under section 4Aof the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.
- E. List of people authorized to attest the documents :**
1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Cooperative 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
<b>Corporate</b>	<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 securities market.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
<b>Partnership firm</b>	<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>
<b>Trust</b>	<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>
<b>HUF</b>	<ul style="list-style-type: none"> <li>• PAN of HUF.</li> <li>• Deed of declaration of HUF/ 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>
<b>Unincorporated association or a body of individuals</b>	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document.</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Banks/Institutional Investors</b>	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Army/ Government Bodies</b>	<ul style="list-style-type: none"> <li>• Self-certification on letterhead.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Registered Society</b>	<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>

# Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant \_\_\_\_\_ PAN of the Applicant \_\_\_\_\_

Sr. No.	PAN	Name	DIN (For Directors) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph



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Your Progress Our Priority...

Date | d | d | / | m | m | / | y | y | y | y |

Name & Signature of the Authorised Signatory(ies)

## CUSTOMER PROFILE

PAN

E-mail

Whether you wish to receive communication from member in electronic form on your Email-id YES  NO

{If, yes than please fill in appendix-A)

Whether you wish to avail of the facility of internet trading / wireless technology (Please Specify)  Yes  No

**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-1Crore  >1 Crore **OR**

**Net-worth as on** (date)\_\_\_\_\_ is Rs.\_\_\_\_\_(Networth should not be older than 1 year)

Educational Qualification .High School  Graduate  Post Graduate  Professional

**Occupation:**  Govt. Service  Public / Private Sector  Professional  Business  Student

Farmer  Housewife  Retired  Others(specify)\_\_\_\_\_

### PAST REGULATORY ACTION:

Details of any action/proceedings initiated/pending/taken by SEBI / Commodity exchange / any other authority against the client / or its Partners / promoters / whole time directors/authorized persons in charge during the last 3 years : \_\_\_\_\_

### INVESTMENT / TRADING EXPERIENCE

No Prior Experience  \_\_\_\_\_ Years in Commodities  \_\_\_\_\_ Years in other investment related fields

**Please tick, if applicable:**  Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)  Not a Politically Exposed Peron (PEP)  Not Related to a Politically Exposed Person (PEP)

If you have a landline connection, kindly provide the same

## BANK DETAILS

Bank Name & Branch Address	Bank A/c No.	A/c Type Saving/Current Others	MICR No. / IFSC Code
			MICR No. _____ IFSC Code _____
			MICR No. _____ IFSC Code _____

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.

## DEPOSITORY PARTICULARS

Depository Participant Name	Depository Name (NSDL / CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)

Provide a copy of either Demat Master or a recent holding statement issued by DP bearing name of the client

## BROKERAGE DETAILS

Brokerage Scheme		%	Min
	Trading 1st Leg		
	Trading 2nd Leg		
	Delivery		

PSBPL reserves the rights to change the brokerage as well as other tariff from time to time under intimation to client.

**DEALING THROUGH OTHER MEMBERS**

If client is dealing through any other member, provide the following details (in case dealing with multiple Members / APs, provide details of all in a separate sheet containing all the information as mentioned below)

Member's/Authorized Person (AP)'s Name: \_\_\_\_\_

Exchange \_\_\_\_\_ Exchange Registration No. \_\_\_\_\_

Concerned Member's Name with whom the AP is registered : \_\_\_\_\_

Registered office address : \_\_\_\_\_

Tel. No. \_\_\_\_\_ Fax: \_\_\_\_\_ E-mail : \_\_\_\_\_

Website : \_\_\_\_\_ Client Code : \_\_\_\_\_

Details of disputed / dues pending from / to such Member / AP. : \_\_\_\_\_

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

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

Name of State : \_\_\_\_\_

Central Sales Tax Registration No. : \_\_\_\_\_ Validity Date : \_\_\_\_\_

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

Name of State : \_\_\_\_\_

**GST DETAILS (As applicable, State wise)**

Local GST Registration No. : \_\_\_\_\_ Validity Date : \_\_\_\_\_

Name of State : \_\_\_\_\_

Other GST Registration No. : \_\_\_\_\_ Validity Date : \_\_\_\_\_

Name of State : \_\_\_\_\_

**INTRODUCER DETAILS**

Name of 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  \_\_\_\_\_

## NOMINATION DETAILS

I/WE wish to nominate  I/WE do not wish to nominate

Name of The Nominee :

Address

City  PIN

State  Country

Tel No.  Fax

Relation with the Nominee

Date of Birth 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

 PAN No.

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

Name of Guardian

Address

City  PIN

State  Country

Tel. No.

Signature of Guardian \_\_\_\_\_

Name & Address of Witnesses (Mandatory for Nomination)	Signature
1.	
2.	



## TRADING PREFERENCE

Name of the Exchanges	Date of Consent for trading on concerned Exchange	Signature of Client
<b>MCX</b>		2.  _____

## DECLARATION

1. I/We hereby declare tht 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 change therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we are aware that / lwe 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 'Do's and Don't's. 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.

**Place :** \_\_\_\_\_

**4. X ( \_\_\_\_\_ )**

**Date :** \_\_\_\_\_

**Signature of Client/Authorized Signatory**

## FOR OFFICE USE ONLY

UCC Code allotted to the Client : \_\_\_\_\_ **FAMILY NAME :** \_\_\_\_\_

	Documents verified with Originals
Name of the Employee	
Employee Code	
Designation of the employee	
Date	
<b>Signature</b>	

I/We undertake that we have made the client aware of tariff sheet and all the voluntary/non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD, 'Do's and Don't's' and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the tariff sheet and all the Voluntary/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.

**For PROGRESSIVE SHARE BROKERS PVT. LTD.**

**Date** \_\_\_\_\_

**Authorised Signatory**

**Electronic Contract Note [ECN] - DECLARATION  
(VOLUNTARY)**

To,  
**PROGRESSIVE SHARE BROKERS PVT. LTD.**  
MUMBAI

Dear Sir

I, \_\_\_\_\_ a client with Member

M/s. \_\_\_\_\_ of \_\_\_\_\_

Exchange undertake as follows :

1. 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.
2. I am aware that the Member has to provide electronic contract note for my convenience on my request only.
3. 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.
4. I have access to computer and am a regular internet user, having sufficient knowledge of handling the email operations.
5. My email Id is \_\_\_\_\_. This has been created by me and not by someone else.
6. I am aware that this declaration form should be in English or in any other Indian language known to me.
7. 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 has 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]

(The above lines must be reproduced in own handwriting of the client.)

\_\_\_\_\_  
\_\_\_\_\_

Client Name : \_\_\_\_\_

Unique Client Code : \_\_\_\_\_

PAN : \_\_\_\_\_

Address : \_\_\_\_\_

Signature of the Client  \_\_\_\_\_

Date :

Place :

Verification of the client signature done by,  
Name of the designed officer of the Member

Signature

Date :

**Instruction :**

1. This declaration form has to be sent by the Member to the Client on the email id provided by client while opening the trading account.
2. The client shall, on receipt of this email, print the email as well as the declaration form.
3. The hard copy of the declaraton shall be filled up by the client and submitted to the Member along with a signed hard copy of the email. The Member shall acknowledge the receipt of the declaration from the client.
4. The size of the font of this declaration must be at least 12.

**Consent form for registration & verification of mobile number and email address for receiving trade alerts through SMS and / or E-mail**

To,

Date: \_\_\_\_\_

**PROGRESSIVE SHARE BROKERS PVT. LTD.**

122-123-124 Laxmi Plaza, Laxmi Industrial Estate,  
New Link Road, Andheri (W),  
Mumbai – 400 053.

Dear Sir

I/We, \_\_\_\_\_, a Client with Progressive Share Brokers Pvt. Ltd. Member of MCX and any other exchange I/We future undertake as follows.

1. I/We am/are aware that Multi Commodity Exchange of India Limited (MCX) provides the details of the trades executed on its trading platform to the concerned clients (constituents) of its Members through SMS and E-mail alerts.
2. I/We am/are aware that the Exchange has to provide the trade details through SMS/E-mail alerts for my convenience at my request only.
3. I/we hereby provided and confirmed that I/We wish to receive the trade alerts through-  
SMS E-Mail SMS And Email

4. The alerts should be sent on

Mobile Number : \_\_\_\_\_

E-mail Address : \_\_\_\_\_

Belongs to  Self  Spouse  Dependant Children  Dependent Parents

I/We am/are hereby agree to the terms and conditions specified by the Exchange vide circular No. MCX/T&S/165/2012 dated April 26 2012 circulars/clarifications issued by the Exchange from time to time in this regard. I/We am/are also aware that this is an additional facility provided by the Exchange and we shall not solely rely or use such data for any purpose and, Exchange & Member shall not be liable for any direct or indirect loss of any nature because of providing this additional facility.

Client Signature :  \_\_\_\_\_

Client Name : \_\_\_\_\_

Unique Client Code : \_\_\_\_\_

PAN : \_\_\_\_\_

Voluntary

To,

**PROGRESSIVE SHARE BROKERS PVT. LTD.**

122-123-124 Laxmi Plaza, Laxmi Industrial Estate,  
New Link Road, Andheri (W),  
Mumbai – 400 053.

## **A. CLIENT DECLARATION - OPEN INTEREST POSITION**

I/We, the undersigned, have taken cognizance of circulars issued by SEBI / Commodity Exchanges from time to time on the guidelines for calculation of net open positions permitted in anycommodity and I/we hereby undertake to comply with the same.

I / We hereby declare and undertake that I / we will not exceed the position limits prescribed from to time to time by commodity Exchanges or SEBI and such position limits will be calculated in accordancewith the circulars on position 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 position in any commodity forwardcontract / commodity derivative on Exchanges through or through any other member (s) or Exchanges, to refer our position limit as prescribed by the above referred circular of Exchanges as modified from time to time.

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

I/We further undertake to bear any liable/penalty/charges levied by Commodity Exchanges / SEBI.

Yours faithfully,

Signature of Client



---

**Authority to Retain Securities and Funds  
(For Maintaining Running Account)**

**Voluntary**

To

Date : \_\_\_\_\_

**Progressive Share Brokers Private Limited.**

122-124, Laxmi Plaza,  
Laxmi Industrial Estate, New Link Road,  
Andheri (W), Mumbai - 400 053.

Sir,

In order to facilitate operations, I/We hereby authorize you to maintain my/our accounts both in securities and funds with you on a running account basis and consider the balance in said accounts for the purpose of margins or any other lawful obligations due to you across any segment of any Stock Exchange and also authorize you to hold my/our credit/securities in anticipation of future debits in my/our account till my/our further instruction to release the same. I/We further authorize you to set off/adjust any of my/our debit/dues in any segment of any Stock Exchange with credit of any other segment of any other Exchange in my/our account.

I am/ We are aware that the said authorization given to you is on one time basis and is valid till the same is revoked by me/us in writing at any point of time.

I/We desire actual settlement of funds and securities at least once in a calander (Choose one Option)

- Once in a calendar Month  
 Once in every calendar Quarter

I/We, shall bring any dispute arising from the statement of account or settlement to your notice preferably within 7 working days from the date of receipt of funds / securities or statement as the case may be.

Yours faithfully,

Client Signature :  \_\_\_\_\_

---

**LETTER FOR AUTHORITY – All EXCHANGES**

Voluntary

To,  
**PROGRESSIVE SHARE BROKERS PVT. LTD.**  
122-123-124 Laxmi Plaza, Laxmi Industrial Estate,  
New Link Road, Andheri (W),  
Mumbai – 400 053.

Dear Sir,

**Sub : Letter of Authority for Trading and settlement with you on behalf of Me/Us.**

**Kindly find below a list of authorized person to represent Me/Us, their authority restricted to following.**

- To sell, purchase, subscribe for, effect delivery of, transfer, dispose, endorse, negotiate and /or otherwise deal in all types of commodities Contract
  
- To receive advice/instructions for payment of margins, including margin calls.
  
- To receive communication regarding squaring up of existing open positions, in case of shortfall of margin or otherwise.
  
- To sign, execute and submit such documents as may be required to effectuate any of the above in accordance and subject to the regulatory requirement from time to time.

Name of the Person's	Relation
1. _____	_____
2. _____	_____
3. _____	_____

Any instruction given to or received from the Authorised Representative in connection with the said trading account will be treated as an instruction given to or received from me/us except your obligation under Regulatory authority/Exchange guidelines. I/We hereby agree to confirm all Transactions, trade and Dealings done by Authorised Representative.

Signature of Client :  \_\_\_\_\_

Name of Client : \_\_\_\_\_

## PROGRESSIVE SHARE BROKERS PVT. LTD.

122-124, Laxmi Plaza, Laxmi Industrial Estate, New Link Road, Andheri-W, Mumbai-53  
Ph: 022-40777500 Website: [www.progressiveshares.com](http://www.progressiveshares.com) CIN: U74899MH1995PTC175275

### FATCA/CRS Self Declaration Form (For Individuals)

#### Part 1: Individual Identification

Account number / Customer Id \_\_\_\_\_

Nature of holder (First / Second/ Third) \_\_\_\_\_

Name of the Accountholder \_\_\_\_\_

Place of Birth \_\_\_\_\_ Date Of Birth \_\_\_\_\_ Gender: \_\_\_\_\_ (M/F)

Country of Birth \_\_\_\_\_ Nationality/Citizenship \_\_\_\_\_

US Person (Yes/No) \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Correspondence Address (if different from above): \_\_\_\_\_

\_\_\_\_\_

Mobile: \_\_\_\_\_

#### Part II

Country of tax residence (as per section 6 of the Income-tax Act, 1961)

(a) Only India

(b) India and any other country  \_\_\_\_\_ (kindly specify the countries of tax residence)

(c) Any other country  \_\_\_\_\_ (kindly specify the countries of tax residence)

**If answer to option (b) or (c) is Yes, please provide the following details and documents:**

For the purposes of taxation, I am a resident in the following countries and my Tax Identification Number (TIN)/functional equivalent in each country is set out below or I have indicated that a TIN/functional equivalent is unavailable (kindly fill details of all countries of tax residence if more than one):

Country/countries of tax residency	Tax Identification Number (TIN)	TIN Issuing Country	Documents provided (copy of certificate of residence or copy of TIN)

a. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate (Please also fill Part IV Self-Certification)

Reason: \_\_\_\_\_

**Part III- Customer Declaration & Undertaking**

I/We certify that:

- a) the information provided in the Form is in accordance with section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income tax Rules, 1962.
- b) The applicant is (i) an applicant taxable as a US person under the laws of the USA or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the US, (ii) an estate the income of which is subject to US federal Income Tax regardless of the source thereof. (Applicable only in case of US person).
- c) The applicant is an applicant taxable as a tax resident under the laws of the Country outside India.(Applicable only if the account holder is a tax resident outside of India.)
- d) I/We permit/authorize Progressive Share Brokers Pvt. Ltd.(PSBPL) to collect, store, communicate and process information relating to the Account and all transactions therein, by them and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.
- e) I / We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and PSBPL would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GOI) /RBI for the purpose or take any other action as may be deemed appropriate by PSBPL if the deficiency is not remedied by us within the stipulated period.
- f) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect and shall indemnify PSBPL for any loss that may arise to the Bank/Authorities on account of providing incorrect or incomplete information.
- g) I/We certify that the information on this form is true to the best of my knowledge and belief and shall indemnify the Company for any loss that may arise on account of providing incorrect or incomplete information.

Signature	
Name	
Date & Place	
PAN Number	

**Part IV- Self-Certification:**

To be filled only if-

- (a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or**
- (b) US person is mentioned as Yes in Part I, and TIN is not available**

<p>I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.</p>	<p>Signature</p>
<p>Document Submitted: (Tick the one provided)</p> <p><input type="checkbox"/> Passport <span style="margin-left: 150px;"><input type="checkbox"/> PAN Card</span></p> <p><input type="checkbox"/> Driving License <span style="margin-left: 150px;"><input type="checkbox"/> UIDAI Card</span></p> <p><input type="checkbox"/> Election Id Card <span style="margin-left: 150px;"><input type="checkbox"/> Others, specify_____</span></p> <p><input type="checkbox"/> Govt. Issued ID Card</p>	



Voluntary

## DECLARATION OF JOINT FAMILY (HUF)

To,

**PROGRESSIVE SHARE BROKERS PVT. LTD.**

122-123-124 Laxmi Plaza, Laxmi Industrial Estate,  
New Link Road, Andheri (W),  
Mumbai – 400 053.

Dear Sir,

As our HUF Firm (Joint Hindu Family) wishes to open a trading account with you for the purpose of trading in Commodity Derivatives on MCX in the name of M/s. \_\_\_\_\_

we beg to say that the first signatory to this letter i.e. Mr. \_\_\_\_\_ is the Karta of our family and other signatories are the adult co-parceners of the said family.

Sh. \_\_\_\_\_ is authorized to sell, buy, transfer, endorse, negotiate and/or otherwise deal through you on behalf of the HUF. He is also authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said HUF towards you and agree and confirm that any claim due to the you from the HUF 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-parcener of the said joint family and the share of the minor co-parceners, if any. In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1932, we have not got our said firm registered under the said Act. We hereby undertake to inform you about the death or birth of a co-parcener or of any other change occurring at any time in the membership of our joint family, during the currency of the said trading account

Sr.No.	Name	Date of Birth	Relationship with Karta	Signature

Signature of the Karta along with Stamp

Name of Karta



DECLARATION

Client Code : \_\_\_\_\_

To,

**PROGRESSIVE SHARE BROKERS PVT. LTD.**  
122-123-124 Laxmi Plaza, Laxmi Industrial Estate,  
New Link Road, Andheri (W),  
Mumbai – 400 053.

*// We hereby acknowledge the receipt of a copy of executed Client Registration Form including KYC details, Tariff sheet, Standard Documents (i.e. Rights & Obligation Document, Risk Disclosure Document, Guidance Note- Do's and Don'ts.)*

*//We aware that Standard Documents are made available on Company Website i.e. [www.progressiveshares.com](http://www.progressiveshares.com)*

Client's Signature	
Client Name	

Place: \_\_\_\_\_

Date: \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_



CREATE CLEAN INDIA

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**Address:** 122-124, LAXMI PLAZA, LAXMI INDUSTRIAL ESTATE, NEW LINK ROAD, ANDHERI (W), MUMBAI - 400 053.

Tel.: 022-40777500 Fax : 022-2630 5357 Website : [www.progressiveshares.com](http://www.progressiveshares.com)