



# SMIFS FINANCE LTD.

## MEMBERSHIP DETAILS

NAME OF MEMBER – SMIFS FINANCE LIMITED			
NAME OF EXCHANGE	MARKET SEGMENT	FMC REGISTRATION No.	TRADING MEMBER ID
MULTI COMMODITY EXCHANGE OF INDIA LIMITED	Derivative	MCX/TCM/CORP/0942	16160 dated 21/08/2003

REGISTERED & CORRESPONDENCE OFFICE		
ADDRESS	4, Lee Road, Vaibhav, 5 <sup>th</sup> Floor, Kolkata – 700 020	
CONTACT NUMBERS	Tel. No.: (91 33) 3051 5400 Fax: 2289 3401	Official Web Site - www.smifs.com
KEY OFFICIALS		
DESIGNATION OF OFFICIAL	DESIGNATED DIRECTOR	COMPLIANCE OFFICER
NAME OF OFFICIAL	SHRI RAJESH KUMAR KOCHAR	SHRI SUDIPTO DATTA
CONTACT TELEPHONE NUMBER	(91 33) 3051 5420	(91 33) 3051 5401
E-MAIL ID.	<a href="mailto:rajesh.kochar@smifs.com">rajesh.kochar@smifs.com</a>	<a href="mailto:sudipta@smifs.com">sudipta@smifs.com</a>
FOR ANY GRIEVANCE/DISPUTE PLEASE CONTACT:		
<b>SMIFS FINANCE LIMITED</b> INVESTOR GRIEVANCE OFFICER : MS NILANJANA MUKHERJEE 4, LEE ROAD, VAIBHAV, 5TH FLOOR, KOLKATA – 700 020 TEL. No.: (91 33) 3051 5401 FAX: 2289 3401 E-mail - investors@smifs.com		
IN CASE NOT SATISFIED WITH THE RESPONSE OF SMIFS FINANCE LIMITED PLEASE CONTACT THE CONCERNED EXCHANGE(S) AT:		
NAME OF EXCHANGE	CONTACT NOS.	CONTACT E-MAIL ID
MULTI COMMODITY EXCHANGE OF INDIA LIMITED	(91 22) 6731 8888 / 6649 4000	<a href="mailto:grievance@mcxindia.com">grievance@mcxindia.com</a>

Sign \_\_\_\_\_



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## INDEX

S. No.	Name of the Document	Brief Significance of the Document	Page No.
<b><u>MANDATORY DOCUMENTS AS PRESCRIBED BY FMC &amp; EXCHANGES</u></b>			
1	KYC (Account Opening) Application Form	KYC form - Document captures the basic information about the constituent and an instruction/check list.	1 - 13
2	Uniform Risk Disclosure Document (RDD)	Document detailing Risks associated with dealing in the Commodities Market.	14 - 17
3	Rights and Obligations of Members, Authorized Persons and Clients	Document stating the Rights and Obligations of Member, Authorized Person and Client for Trading on Exchanges (including additional Rights and Obligations in case of Internet / Wireless Technology Based Trading).	18 - 23
4	Guidance Note - Do's and Don'ts for the Investors	Document detailing Do's and Don't's for trading on Exchange for the Education of the Investors.	24 - 25
5	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the Commodity Exchange(s).	26
<b><u>VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER</u></b>			
6	Non-Mandatory Policies & Procedures	Document describing significant non-mandatory policies and procedures of SMIFS Finance Limited	27 - 43
7	Running Ledger Authorization	Revocable Declaration by client for authorizing Member to maintain running ledger account	44 - 45
8	Verbal Order & Receiving of Documents	Revocable Declaration by clients for authorizing representatives of the client, to receive contract notes / bills / ledgers / Communications etc on and behalf of the client and authorizing Members to accept verbal orders/instructions.	46 - 47
9	Electronic Contract Note (ECN) - Declaration	Document describing conditions for receiving Contract Notes in Electronic Form, to be updated in each Financial Year.	48 - 49

Sign \_\_\_\_\_