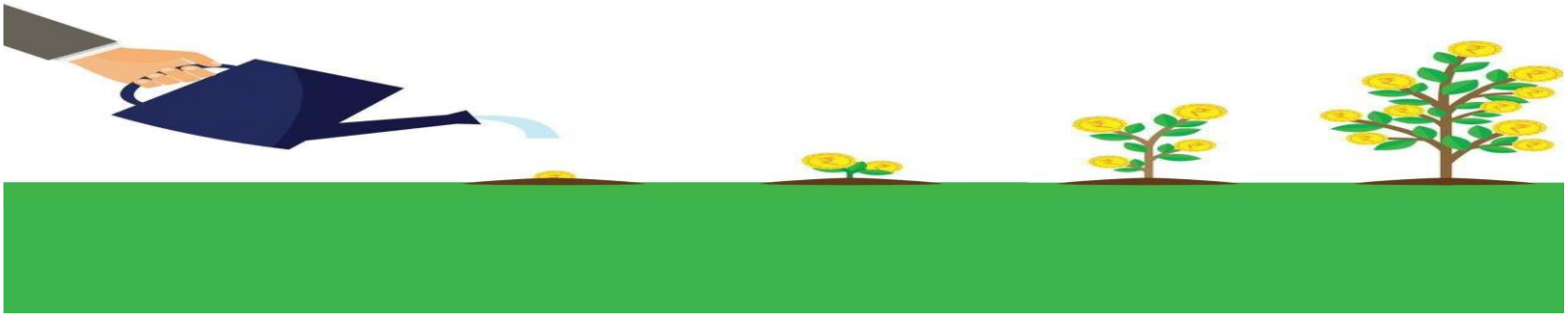
Form No.

MLB

Partner in Growth



CLIENT REGISTRATION KIT

EQUITY FNO

MLB STOCK BROKING PRIVATE LIMITED

Member: National Stock Exchange of India Limited
Member: Bombay Stock Exchange Limited
SEBI Regn. No.: INZ000305131

Depository Participant: CDSL • DP ID: 12101100

SEBI REGN. NO.: IN-DP- 792-2025

☐ **Individual** ☐ **HUF** ☐ **Corporate**

Registration For: ☐ **NSE** ☐ **BSE** ☐ **Demat**

Client Name : .....

Branch Code : .....

Client Code : .....

Client ID : **12101100** .....

ACCOUNT OPENING KIT

ANNEXURE - 1

INDEX OF DOCUMENTS

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction / check list.	1 - 10
		B. Document captures the additional information about the constituent relevant to trading account and an instruction / check list.	11 - 14
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/ trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	15 - 18
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	19 - 21
4.	Guidance Note	Documents detailing do's and don'ts for trading on exchange, for the education of the investors.	22 - 23
5.	Policies and Procedures	Document describing significant policies and procedure of the stock broker.	24 - 27
6.	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	28

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Running Account Authorisation	Request Letter signed and submitted by client.	29
2.	Authorisation for Electronic Contract Notes / Statements	Request Letter signed and submitted by client.	30
3.	Declaration cum Consent Letter for use of Family Member's Email Id and Mobile No.	Declaration cum Consent Letter for use of Family Member's Email Id and Mobile No.	31
4.	FATCA & CRS Declaration	FATCA & CRS Declaration for Individual & Non-Individual	32-34

1.	CDSL Form - Individual / Corporate / CM	Where the client wishes to open a demat account with us as CDSL DP	35-53

Name of stock broker/trading member/clearing member: **MLB STOCK BROKING PRIVATE LIMITED**
SEBI Registration No.: INZ000305131, Dt: 17-01-2025

Registered office & Correspondence office address: 9th Floor, Office no # 901/902, Mall of Jaipur, Plot No.1, Kuber Complex Scheme, Gandhi Path, Vaishali Nagar, Jaipur, Rajasthan 302021
Phone Nos.: 0141-4799383 • **email id :** info@mlbstocks.com

Compliance Officer Name, Phone No. & Email Id : Praveen Singh, 0141-4799383 email- compliance@mlbstocks.com

Director Name, Phone No. & Email Id : Prem Ratan Bhaiya, 0141-4799383 email id-info@mlbstocks.com

Email for Investors Grievance : info@mlbstocks.com

For any grievance/dispute please contact stock broker **MLB STOCK BROKING PRIVATE LIMITED** at the above address or email id or Phone no. In case not satisfied with the response, please contact the concerned exchange(s) at ignse@nse.co.in and Phone no. 022-26598192 (NSE) or at is@bseindia.com and phone no. 022-22728097 (BSE)

I / We wish to receive copies of KYC documents / Kit ☐ in Physical Form ☐ in Electronic Form

I / We acknowledge receipt of above mentioned documents duly signed / read / understood by me/us.

I have received a copy of investor charter stock brokers & depository participant

Client Signature

This Page is left blank intentionally

SARAL

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Please fill the form in English and in BLOCK letters.
C) Please fill the date in DD-MM-YYYY format.
D) Please read section wise detailed guidelines / instructions at the end.
E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
F) List of two character ISO 3166 country codes is available at the end.
G) KYC number of applicant is mandatory for update application.
H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only
(To be filled by financial institution)

Application Type* ☐ New ☐ Update
KYC Number *(Mandatory for KYC update request)*
Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

☐ 1. PERSONAL DETAILS (Please refer instruction **A** at the end)

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				

Date of Birth* D D — M M — Y Y Y Y

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

Citizenship* ☐ IN- Indian ☐ Others (ISO 3166 Country Code)

Residential Status* ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin

Occupation Type* ☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector) ☐ O-Others (☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student) ☐ B-Business ☐ X- Not Categorised

PHOTO

Signature / Thumb Impression

☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction **B** at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth* ISO 3166 Country Code of Birth*

☐ 3. PROOF OF IDENTITY (PoI)* (Please refer instruction **C** at the end)

*(Certified copy of **any one** of the following Proof of Identity [PoI] needs to be submitted)*

☐ A- Passport Number — Passport Expiry Date D D — M M — Y Y Y Y
☐ B- Voter ID Card
☐ C- PAN Card
☐ D- Driving Licence — Driving Licence Expiry Date D D — M M — Y Y Y Y
☐ E- UID (Aadhaar)
☐ F- NREGA Job Card
☐ Z- Others (any document notified by the central government) — Identification Number
☐ S- Simplified Measures Account - Document Type code — Identification Number

4. PROOF OF ADDRESS (PoA)*

☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction **D** at the end)

*(Certified copy of **any one** of the following Proof of Address [PoA] needs to be submitted)*

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar) ☐ Voter Identity Card ☐ NREGA Job Card ☐ Others please specify ☐ Simplified Measures Account - Document Type code

Address

Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

☐ 4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction **E** at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill '**Annexure A1**')

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1*

Line 2

Line 3 City / Town / Village*

State* ZIP / Post Code* ISO 3166 Country Code*

☐ 5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction **F** at the end)

Tel. (Off) – Tel. (Res) – Mobile –

FAX – Email ID

☐ 6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction **G** at the end)

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (**H**) at the end)

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ E- UID (Aadhaar)

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government) Identification Number

☐ S- Simplified Measures Account - Document Type code Identification Number

☐ 7. REMARKS (If any)

8. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my 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 aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : D D – M M – Y Y Y Y Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☑ Certified Copies ☑ IPV Done

Date D D M M Y Y Y Y Place

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

KYC / IN-PERSON VERIFICATION CARRIED OUT BY

Name MLB STOCK BROKING PVT. LTD.

Code

[Institution Stamp]

SARAL

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

Please fill in ENGLISH and in BLOCK LETTERS with black ink

CVL

Application No. :

A. Identity Details (please see guidelines overleaf)

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

Name

Father's/Spouse Name

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

2. Gender ☐ Male ☐ Female **B. Marital status** ☐ Single ☐ Married **C. Date of Birth**

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

Unique Identification Number (UID)/Aadhaar, 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)

B. Address Details (please see guidelines overleaf)

1. Address for 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

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

MLB STOCK BROKING PRIVATE LIMITED

☐ (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

"Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back). If printed separately then both the pages should be attached and signed by the applicant."

Please Tear Here

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/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 apostiled 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 Tear Here

Please Submit the KYC Documents on A4 Size Paper Only.

N

Know Your Client (KYC) Application Form (For Non-Individuals Only)

CVL

Application No. :

Please fill in ENGLISH and in BLOCK LETTERS with black ink

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
   ☐ FI ☐ FII ☐ HUF ☐ 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

PHOTOGRAPH

Please affix the recent passport size photograph of Authorised Signatory and sign across it

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

1. **Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors :**

2. **a) DIN of whole time directors :**

   b) Aadhaar number of Promoters/Partners/Karta :

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.

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

Place: Date:

FOR OFFICE USE ONLY

AMC/Intermediary name **OR** code

MLB STOCK BROKING PRIVATE LIMITED

☐ (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

"Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back). If printed separately then both the pages should be attached and signed by the applicant."

Please Tear Here

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/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 apostiled 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.

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 Requirments
Corporate	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • 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). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control-either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership Firm	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	• PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	• Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	• Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures.
Army/Government Bodies	• Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	• Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

Please Tear Here

Please Submit the KYC Documents on A4 Size Paper Only.

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) / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
						☐ PEP ☐ RPEP ☐ NO	
						☐ PEP ☐ RPEP ☐ NO	
						☐ PEP ☐ RPEP ☐ NO	
						☐ PEP ☐ RPEP ☐ NO	
						☐ PEP ☐ RPEP ☐ NO	

Name & Signature of the Authorised Signatory(ies) Date d d / m m / y y y y

PEP: Politically Exposed Person **RPEP:** Related to Politically Exposed Person

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DEED OF DECLARATION OF HUF

I, _____residing at the address _____

_____ do solemnly

affirm that I am the Karta of the Hindu Undivided and following members are included in the HUF.

Details of Coparceners / Family Members :

S.No.	Name of Coparceners / Family Members	Sex Code	Date of Birth	Relationship with Karta
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				
13.				
14.				
15.				

Specimen signature for and on behalf of Karta

Name : _____

_____

Signature of Karta
Along with the rubber stamp

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ANNEXURE - 3

TRADING ACCOUNT RELATED DETAILS (For Individuals & Non-Individuals)

A. OTHER DETAILS

- Gross Annual Income Details (please specify) : Income Range per annum: ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac ☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ >1 Crore

  OR

  Net Worth (Net worth should not be older than 1 year) Amount Rs.....

  as on (date) D D M M Y Y Y Y (Compulsory for Non-Individuals)
- Occupation (please tick any one and give brief details) : ☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others_____Please Specify
- Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)
- Any other information : .....

B. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank Account Number	Account Type	MICR Number	IFSC Code
			☐ Saving ☐ Current ☐ Others - in case of NRI / NRE / NRO		

C. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Name of Depository	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	☐NSDL ☐CDSL			
	☐NSDL ☐CDSL			

D. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Stock Exchange	Market Segment/s			
☐ NSE	Cash	✍	F&O	✍
☐ BSE	Cash	✍	F&O	✍

 # If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

E PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years:

_____

_____

F. DEALINGS THROUGH SUB-BROKES AND OTHER STOCK BROKERS

If client is dealing through the sub-broker, provide the following details:					
Sub-broker's Name					
SEBI Registration number					
Registered office address					
Ph.		Fax		Website	

Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)			
Name of stock broker			
Name of Sub-Broker, if any			
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker/sub- broker			

G. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)	☐ Physical Contact Notes ☐ Electronic Contract Note
Specify your Email id, if applicable	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)	
Number of years of Investment/Trading Experience	
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:	
Any other information	

H. INTRODUCER DETAILS (optional)

Name of the introducer	
Status of the Introducer	☐ Sub Broker ☐ Remisier ☐ Auth. Person ☐ Existing Client ☐ Others_____
Address and Phone No. of the Introducer	
Sign. of the Introducer	

I. NOMINATION DETAILS (for individuals only)

☐ I/We wish to nominate ☐ I/We do not wish to nominate ✍ _____

Name of the Nominee			
Relationship with the Nominee			
PAN of Nominee		Date of Birth of Nominee	
Address and Ph. No. of the Nominee			
If Nominee is a minor, details of guardian :			
Name of the Guardian			
Address and Ph. No. of Guardian			
Sign. of Guardian			

WITNESSES (Only applicable in case the account holder has made nomination)

Name		Name	
Signature		Signature	
Address		Address	

DECLARATION

1. 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.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. 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 stock broker's designated website, if any.

✍ _____

Signature of Client / All Authorized Signatory (ies)

Place	
Date	

FOR OFFICE USE ONLY

UCC Code allotted to the Client :_____

	Document verified with Originals	Client Interviewed By	In-Person Verification Done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the 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 **MLB STOCK BROKING PRIVATE LIMITED**

_____

Signature of the Authorised Signatory

Seal / Stamp of the Stock Broker

Date _____

ANNEXURE - 4

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS

as prescribed by SEBI and Stock Exchanges

1. The client shall invest/trade in those securities/ contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/ notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/ payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued there under.

BROKERAGE

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/ partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/ Promoter(s)/ Partner(s)/ Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/ notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete `Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/ circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.
41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/ notices/ circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/ SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

Client Signature

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT

(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.

2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.

3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet /smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.

5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/ securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker

6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username /password/ account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.

7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/ password in any manner whatsoever.

8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.

9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.

10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/ Exchange end for any reason beyond the control of the stock broker/Exchanges.

Client Signature

ANNEXURE - 5

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

1.3 Risk of Wider Spreads:

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

1.4 Risk-reducing orders:

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

1.4.1 A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre - determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6 Risk of Rumors:

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.7 System Risk:

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

1.7.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing":

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. TRADING THROUGH WIRELESS TECHNOLOGY / SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. GENERAL

4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

Client Signature

ANNEXURE - 6

GUIDANCE NOTE - DO'S AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges websites (www.nseindia.com) and SEBI website www.sebi.gov.in.

2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.

3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.

4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.

5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.

6. Obtain a copy of all the documents executed by you from the stock broker free of charge.

7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.

9. Don't share your internet trading account's password with anyone.

10. Don't make any payment in cash to the stock broker.

11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.

12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.

13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:

    a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.

    b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/ deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.

    c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/ securities/ margin to the extent of value of transactions executed on the day of such settlement in the cash market.

    d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.

15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.

17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.

19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/ compliance officer exclusively for the purpose of registering complaints.

21. Kindly note that we are not required to have a Business Continuity / Disaster Recovery (DR) Plan / Site under the existing regulatory provision and as per guidelines issued by the stock exchanges

Client Signature

1. **Refusal of orders for penny / illiquid stock**

To define penny stocks the stock broker may add and include number of other securities besides list of illiquid securities released by the Exchanges every month.

The stock broker may from time to time limit (quantity/ value) / refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies), the order being for securities which are not in the permitted list of the stock broker/ exchange(s) / SEBI. Provided further that stock broker may require compulsory settlement/advance payment of expected settlement value/ delivery of securities for settlement prior to acceptance / placement of order(s) as well. The client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client alone.

The stock broker may require reconfirmation of orders, which are larger than that specified by the stock broker's risk management, and is also aware that the stock broker has the discretion to reject the execution of such orders based on its risk perception.

2. **Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client**

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions/limits (such as broker level/ market level limits in security specific / volume specific exposures etc.), and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker/ exchange/SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

The stock broker is required only to communicate / advise the parameters for the calculation of the margin / security requirements as rate(s) / percentage(s) of the dealings, through anyone or more means or methods such as post / speed post / courier / registered post / registered AD / facsimile / telegram / cable / e-mail / voice mails / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the stock broker; by publishing / displaying it on the website of the stock broker / making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc; or any other suitable or applicable mode or manner. The client agrees that the postal department / the courier company / newspaper company and the e-mail / voice mail service provider and such other service providers shall be the agent of the client and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail / voice mail service provider, etc. by the stock broker and the client agrees never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever and once parameters for margin / security requirements are so communicated, the client shall monitor his / her / its position (dealings / trades and valuation of security) on his / her / its own and provide the required / deficit margin / security forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the stock broker to the client and / or whether or not such communication is received by the client.

The client is not entitled to trade without adequate margin / security and that it shall be his / her / its responsibility to ascertain beforehand the margin / security requirements for his / her / its orders / trades / deals and to ensure that the required margin / security is made available to the stock broker in such form and manner as may be required by the stock broker. If the client's order is executed despite a shortfall in the available margin, the client, shall, whether or not the stock broker intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he /she lit shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) & / or any claim / loss/ damage arising out of the non availability /shortage of margin /security required by the stock broker & / or exchange & / or SEBI.

The stock broker is entitled to vary the form (i.e., the replacement of the margin / security in one form with the margin / security in any other form, say, in the form of money instead of shares) & / or quantum & / or percentage ofthe margin & / or security required to be deposited / made available, from time to time.

The margin / security deposited by the client with the stock broker are not eligible for any interest.

The stock broker is entitled to include / appropriate any / all payout of funds & / or securities towards margin / security without requiring specific authorizations for each payout.

The stock broker is entitled to transfer funds &/ or securities from his account for one exchange & / or one segment of the exchange to his / her / its account for another exchange & / or another segment of the same exchange whenever applicable and found necessary by the stock broker. The client also agrees and authorises the stock broker to treat / adjust his / her / its margin / security lying in one exchange & / or one segment of the exchange / towards the margin / security / pay in requirements of another exchange & / or another segment of the exchange.

The stock broker is entitled to disable / freeze the account & / or trading facility / any other service facility, if, in the opinion of the stock broker, the client has committed a crime / fraud or has acted in contradiction of this agreement or / is likely to evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

3. **Applicable brokerage rate**

The stock broker is entitled to charge brokerage within the limits imposed by exchange/Sebi.

4. **Imposition of penalty / delayed payment charges**

The clients will be liable to pay late pay in/delayed payment charges for non making payment of their payin/margin obligation on time as per the exchange requirement /schedule at the rate upto 2% per month.

The client agrees that the stock broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

The client agrees to pay to the stock broker brokerage, commission, fees, all taxes, duties, levies imposed by any authority including but not limited to the stock exchanges (including any amount due on account of reassessment / backlogs etc.), transaction expenses, incidental expenses such as postage, courier etc. as they apply from time to time to the client's account / transactions / services that the client avails from the stock broker.

5. **The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues**

Without prejudice to the stock brokers other right (Including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the clients position without giving notice to the client for non payment of margins or other amounts including the pay in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/ obligations.

The stock broker maintains centralized banking and securities handling processes and related banking and depository accounts at designated place. The client shall ensure timely availability of funds/securities in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. The stock broker shall not be responsible for any claim/loss/damage arising out of non availability/short availability of funds/securities by the client in the designated account(s) of the stock broker for meeting the pay in obligation of either funds or securities. If the client gives orders / trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities / funds for pay in for any reason whatsoever including but not limited to any delays / shortages at. the exchange or stock broker level/non release of margin by the stock broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions / square off / closing outs etc., shall be solely to the account of the client and the client agrees not to hold the stock broker responsible for the same in any form or manner whatsoever. In cases of securities lying in margin account/client beneficiary account and having corporate actions like Bonus, Stock split, Right issue etc, for margin or other purpose the benefit of shares due to received under Bonus, Stock split, Right issue etc will be given when the shares is actually received in the stock broker designated demat account.

In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit / credit for the same only on the realization of the funds from the said bank instrument etc. at the absolute discretion of the stock broker.

Where the margin / security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin / security & / or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/closelliquidate all open positions/ securities/ shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage mentioned on the website, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the. client agrees to bear all the losses based on actual executed prices. In case open position (i.e. short/long) gets converted into delivery due to non square off because of

any reason whatsoever, the client agrees to provide securities/funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charges levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the client shall also be solely liable for all and any penalties and charges. levied by the exchange(s).

The stock broker is entitled to prescribe the date and time by which the margin / security is to be made available and the stock broker may refuse to accept any payments in any form after such deadline for margin / security expires.

Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund/security or to meet the funds/margins/ securities pay in obligations for the orders / trades / deals of the client within the prescribed time and form, the stock broker shall have the right without any further notice or communication to the client to take any one or more of the following steps:

(i) To withhold any payout of funds / securities.

(ii) To withhold I disable the trading / dealing facility to the client.

(iii) To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which the stock broker may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities which are pending delivery / receipt.

(iv) To liquidate / square off partially or fully the position of sale & / or purchase in anyone or more securities / contracts in such manner and at such rate which the stock broker may decide in its absolute discretion.

(v) To take any other steps which in the given circumstances, the stock broker may deem fit.

The client agrees that the loss(s) if any, on account of anyone or more steps as enumerated herein above being taken by the stock broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the stock broker.

6. Shortages in obligations arising out of internal netting of trades

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation/ clearing house or other company or entity liable to make the payment and the client has fulfilled his / her / its obligations first.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

a) The short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Pay-in/Payout Day. The securities delivered short are purchased from market on T +3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.

b) If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T + 2 day or Auction day on Exchange + 10%. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.

c) In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

7. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client

The stock broker has margin based RMS system. Client may take exposure upto the amount of margin available with broker.

Client may not be allowed to take position in case of non-availability/shortage of margin as per RMS policy of the broker.

The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/ non making of payment for their payin obligation/outstanding debts.

8. Temporarily suspending or closing a client's account at the client's request

(i) The client may request the stock broker to temporarily suspend his account, stock broker may do so subject to client accepting / adhering to conditions imposed by stock broker including but not limited to settlement of account and/ or other obligation. Same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place.

(ii) The stock broker can with hold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

9. De-registering a client

Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

(i) If the action of the Client are prima facie illegal/ improper or such as to manipulate the price of any securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.

(ii) If there is any commencement of a legal process against the Client under any law in force;

(iii) On the death/lunacy or other disability of the Client;

(iv) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;

(v) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;

(vi) If the Client being a partnership firm, has any steps taken by the Client and/ or its partners for dissolution of the partnership;

(vii) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;

(viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;

(ix) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;

(x) If the Client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the Stock broker;

(xi) If the Client is in breach of any term, condition or covenant of this Agreement;

(xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

However notwithstanding any termination of the agreement, all transactions made under / pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place of execution of this agreement by Stock Broker. Trading in Exchange is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. The client understands that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any break down in the broker's back office/ front end system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond the broker's control and may result in delay in processing or not processing buy or sell Orders either in part or in full. The client shall be fully liable and responsible for any such problem/fault.

Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability .and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through anyone or more means or methods such as post / speed post / courier / registered post / registered A.D / facsimile / telegram / cable / e-mail/ voice mails / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the stock broker; by publishing / displaying it on the website of the stock broker / making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc; or any other suitable or applicable mode or manner. I/we agree that the postal department / the courier company /newspaper company and the e-mail/ voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department / the courier company /the e-mail/voicemail service provider, etc. by the stock broker and I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me/ us and stock broker before any court of law / judicial / adjudicating authority including arbitrator / mediator etc.

For and On Behalf of Constituent

✍ _____ Name : _____

Client Signature

TARIFF SHEET

(BROKERAGE & STATUTORY CHARGES)

S. No.	Detail of Charges		Tariff of Charges
1.	Brokerage	(a) CM Segment	Jobbing @_____% Delivery @_____%
		(b) F&O Segment	Futures @_____% Options @_____% of premium value or Rs._____per lot whichever is higher
2.	GST		As per Government of India Rules
3.	Security Transaction Tax		As per Government of India Rules
4.	Stamp Duty		As per Government of India Rules
5.	Transaction charges (CM and F&O Segment)		As per Government of India Rules
6.	SEBI Turnover Fee		As per Government of India Rules
7.	F&O Clearing Member Charges (for F&O segment only)		Futures @ Rs. 55/- per crore Options @ Rs. 1500/- per crore or Premium Value these are prevailing charges subject to change.
8.	KRA Fee		As levied by KRA
9.	Other Charges		Any other charges levied by Stock Exchange(s), SEBI or any statutory authority (in addition to the tariff mentioned at serial no. from 1 to 8 mentioned herein above)

For MLB STOCK BROKING PRIVATE LIMITED

Client Signature

(Authorised Signatory)

RUNNING ACCOUNT AUTHORIZATION

To,

MLB STOCK BROKING PRIVATE LIMITED

Regd. & Corporate Office :9TH Floor,Office No.#
901/902, Mall of Jaipur, Plot No. 1, Kuber Complex
Scheme, Gandhi Path, Vaishali Nagar
Jaipur, Rajasthan-302021

I/We have been / shall be dealing through you as my/our broker on the Capital Market and/ or Futures & Options Segments/Currency Derivative Segments. As my/our broker i.e. agent I/ we direct and authorize you to carry out trading/ dealings on my/our behalf as per instructions given below.

I am/ We are aware that you and I/we have the option to deliver securities/ make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives / regulations/ circulars, issued by exchange/ regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our securities and monies as margin/ collateral without which we cannot deal/trade.

Therefore I/we hereby direct and authorise you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/ clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive securities/funds in settlement of trades/ dealings please keep the securities and monies with you and make credit entries for the same in running accounts of securities and funds maintained by you. Further, subject to your discretion and valuation please treat my/our securities and funds Iying to my/our credit in running accounts as margin/collateral for my/our dealings/trading.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. While settling the account pleases send a 'statement of accounts' containing an extract from ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. Please explain in the statement(s) being sent the retention of funds/securities and the details of the pledge, if any. I/We agree that I/we shall bring any dispute arising from the statement of accounts or settlement so made to your notice within 7 working days from the date of receipt of funds/securities or statement, as the case may be in writing by delivery at your corporate/registered office. Please do not carry out above stated settlement of running account in the event I/we avail margin trading facility. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

"Please further note that I shall be entitled to revoke this authorization at any time."

My / Our preference for actual settlement of funds and securities is at least:

☐ Once in a Calendar Quarter ☐ Once in a Calendar Month

Thanking you,
Yours faithfully,

✍ _____

Signature with date

Name : ..... Client Code : .....

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ Authorized person etc.]

AUTHORISATION FOR ELECTRONIC CONTRACT NOTES / STATEMENTS

To,

MLB STOCK BROKING PRIVATE LIMITED

Regd. & Corporate Office :9TH Floor,Office No.#
901/902, Mall of Jaipur, Plot No. 1, Kuber Complex
Scheme, Gandhi Path, Vaishali Nagar
Jaipur, Rajasthan-302021

I / We have been / shall be dealing through you as my / our broker on the Capital Market and / or Futures & Options Segments / Currency Derivative Segments. As my/our broker i.e. agent. I / We direct and authorize you to carry out trading / dealings on my / our behalf per instructions given below.

I / We understand that, I / we have the option to receive the contract notes, account statements / statement of securities physical form or electronic form. In pursuance of the same, I / we hereby opt for receipt of contract notes, account statements / statement of securities in electronic form. I / We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes and account statements. Accordingly, please take the following email account / email id on your record for sending the contract notes to me/us.

.....

.....

I / We agree not to hold you responsible for late / non-receipt of contract notes and account statements sent in electronic form and any other communication for any reason including but not limited to failure of email servers, loss of connectivity, email in transit etc. I / we agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me / us on account of any non-receipt / delayed receipt for any reason whatsoever.

I / We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s) / email id(s).

In terms of the agreement entered into between us, in Digital form, Digital contract issued by your as per the terms and conditions specified shall be binding on me. I/W e undertake to check the contract notes and bring the discrepancies of your notice within 24 hours of such issuance of contract notes , my/ our non-verification or not accessing the contract on regular basis shall not be a reason for disputing the contract note at any time.

This instruction to issue digital contract note is applicable with immediate effect.

I/We also acknowledge the upload of contract notes/bills, statement of accounts/ledgers and other statements/ documents for trading on NSE on your website w ww.pfslindia.co.in. I /We hereby agree and confirm to verify the information/documents that are sent on email and/or upload on the said website regularly and the same shall be deemed to be received by me/us (vide SEBI circular ref.No. SEBI/SMD/SE/15/2003/29/04 dated April 29, 2003, regarding issuance of contract notes/bills, statements of ledger/accounts in digital/electronic form and also to disseminate the same on the website for easy access to the Investor)

I/We understand that I am required to intimate any change in the email id / email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I/we am/are an internet client then in that event the

request for change in email id/ email account can be made by me/ us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my /our verbal directions / authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above

Thanking you,

Yours faithfully,

_____

Signature

Client Name : .....

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ Authorized person etc.]

POLICY AND IMPLEMENTATION PROCESS FOR SEBI CIRCULAR NO. 75 DATED 20-06- 2019 AND NSE AND BSE FAQ DATED 04-09-2019 ISSUED IN RESPECT OF HANDLING OF CLIENT SECURITIES

Subject: Our Policy and Implementation process for SEBI Circular No. 75 dated 20-06- 2019 and NSE and BSE FAQ dated 04-09-2019 issued in respect of Handling of Client Securities.

1. Pay out of trades done on 27-09-2019 and thereafter will be receive our NSDL Pool Account. Fully paid securities of Clients will be transferred to their respective demat accounts and unpaid securities in respect of debit balances of Clients will be transferred (within one day) to the newly opened "Client Unpaid Securities Account" (hereinafter referred to as CUSA)".
2. Securities transferred to CUSA will either be transferred to demat account of Client upon fulfillment of funds obligation by Client or will be disposed off within or on fifth trading day after date of pay out. Bill in respect of sell transaction/s of Unpaid Securities will be posted in financial ledger of the respective Client. Profit /Loss for sell transactions of unpaid securities, if any, shall be payable to/recovered from the respective Client.
3. Margin receivable from Client for any segment cannot be transferred either from Pool Account or from CUSA. This margin should come by way of pledging securities in Client's Demat Account in favour of CLIENT SECURITIES MARGIN PLEDGE ACCOUNT of Prabhat Financial Services Limited.
4. Client securities lying in CUSA can be considered for giving benefit of margin for any segment. However, while computing margin obligation of Client for F&0 and Currency Derivatives segment, after applying applicable haircut, value of Client's CUSA securities and pledged securities will be reduced to the extent of debit balance in Client's financial ledger. Client doing Derivatives trading will have to be more careful about availability of sufficient margin.
5. Transfer from PFSL Pool account to Client's Demat account or to CUSA is free of cost. However, NSDL/CDSL will charge per ISIN for transfer made from CUSA to Client's Demat account upon receipt of funds or to PFSL Pool account to dispose off Client's unpaid Securities. Therefore, Client will be liable to pay Demat Charges per ISIN for securities to be moved out of CUSA on Client's behalf.
6. Client who has not registered POA in favour of PFSL will have to be vigilant to submit delivery instruction slip as when sell transaction is executed. Trading Member (PFSL) cannot keep Clients' securities in its Pool Account for more than 24 hours. Trading Member is required to transfer securities from Pool Account to Clients Demat Accounts in respect of clients having credit balances or is required to transfer client securities to CUSA in respect of clients having debit balances.
7. Stock Broker can retain full value of securities till 5" trading day from date of pay out in respect of debit balance Client. However, securities to the extent of amount receivable from Client will be disposed off within five trading days from pay - out date and remaining securities will be transferred to Client's Demat Account.
8. We shall follow the FIFO (First in & First Out) policy while disposing off Clients' Securities lying in CUSA. However, process and method adopted to dispose of the unpaid securities will be at sole discretion of Prabhat Financial Services Limited. Client will be fully responsible to pay amount of loss, if any, towards sale of Client's unpaid securities.
9. We shall initiates the liquidation process of Client's unpaid securities within or on 5" trading day from the date of pay out, i client fails to pay funds towards debit balance. Client's cheque received and cleared within five trading days will only be considered. It will be responsibility of the Client to make pay in of funds on time.
10. Clients will not be allowed to take further exposure beyond 5" trading day reckoned from the pay - out day, till the entire debit balance is not realized by way of receipt of clear funds or by way of realized pay out as a result of liquidation of Unpaid Securities.
11. Client cannot buy same securities on same day which have been sold from CUSA.

For MLB Stock Broking Private Limited

Director

Place: Jaipur

_____

Signature

Client Name: …… Client Code: ……

POLICY FOR SHORTAGES IN OBLIGATION ARISING OUT OF INTERNAL NETTING OF TRADES

Sub.: Policy for Shortages in Obligation Arising Out of Internal Netting of Trades

Objective: The objective of policy is to appropriately deal settlement of shortages in obligations arising out of internal netting of trades. This policy shall be applicable to both Clients as well as Trading Members.

Purpose: Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation/dearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligation first.

Procedure to handle shortages in obligations arising out of internal netting of trades:-

1. The Short delivering client is debited by an amount equivalent to higher of 5% above the official closing price on the auction day OR the highest traded price from first trading day of the settlement till the auction day and the amount shall be credited to the short purchasing client.

2. In cases of securities having corporate actions and no 'no-delivery period' for the corporate action, all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction pay out is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from firsttrading day of the settlement till the auction day.

3. Notwithstanding anything contained in Clause No. 1 as above, in case the shortages in obligations arising out of internal netting of trades of **securities which are available for trading in Future & Option segment of Exchange**, then the delivering client is debited by an amount equivalent to higher of

    i. 2% above the official closing price on the auction day in case the scrip is a part of Nifty Index otherwise 5%

    OR

    ii. The highest traded price from first trading day of the settlement till the auction day the amount shall be credited to the short purchasing client.

For MLB Stock Broking Private Limited

Director

Place: JAIPUR

_____

Signature

Client Name: ..... Client Code: ……

DECLARATION CUM CONSENT LETTER FOR USE OF FAMILY MEMBER'S EMAIL ID AND MOBILE NO.

To,

MLB STOCK BROKING PRIVATE LIMITED

Regd. & Corporate Office :9TH Floor,Office No.#
901/902, Mall of Jaipur, Plot No. 1, Kuber Complex
Scheme, Gandhi Path, Vaishali Nagar
Jaipur, Rajasthan-302021

Sub.: Declaration for use of Email id and Mobile No.

Dear Sir,

I/we request you to please update following email id and mobile no. of my/our family member for client id/s as mentioned below

Sr. No.	Client name for whom family member's Email id and Mobile No. is to be used	Client ID and client code for which family member's email id and mobile No. is to be used	Email id & mobile no of Family member's	Name of family member whose email id and mobile no. is to be used	Relationship with family member	Signature of Client who proposes to use email id and mobile no. of his/her family member
1.						
2.						
3.						
4.						
5.						

Place:_____

Date :_____

_____
Client Signature

FATCA & CRS Declaration - Individual

PAN | Trading Code | DP Code

Name

Place of Birth | Country of Birth

Nationality

Annual Income ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac
☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ >1 Crore

Net Worth **Amount Rs.**..... Net Worth as on D D M M Y Y Y Y
(Net worth should not be older than 1 year)

Occupational Detail ☐ Business ☐ Private Sector ☐ Professional ☐ Government Service ☐ Public Sector
☐ Agriculturist ☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others Pl. Specify

Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐

Are you a tax resident of any country other than India ☐ Yes ☐ No

If yes please indicates the all countries in which you are resident for tax purpose and the associated Tax ID number below.

Sr. No.	Country	Tax Identification Number	Identification Type *(TIN or Other, please specify)*
1.			
2.			
3.			

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform MLB STOCK BROKING PRIVATE LIMITED for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Client Signature

Date : D D M M Y Y Y Y Place :

For Investor convenience, MLB STOCK BROKING PRIVATE LIMITED collecting this mandatory information for updating across all Group Companies of MLB STOCK BROKING PRIVATE LIMITED whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest MLB STOCK BROKING PRIVATE LIMITED branch or you can dispatch the hard copy to-

MLB STOCK BROKING PRIVATE LIMITED

Regd. & Correspondence Ofc: 9th Floor, Ofc No 901/902, Mall of Jaipur, Plot no 1, Kuber Complex Scheme, Gandhi Path Vaishali Nagar, Jaipur (Raj.)-302021

- For Detail Terms & Conditions please visit www.mlbstocks.com

FATCA & CRS Declaration - Non Individual

PAN _____ Trading Code _____ DP Code _____

Name _____

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India ☐ Yes ☐ No

(If yes, please provide countries in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Sr. No.	Country	Tax Identification Number	Identification Type *(TIN or Other, please specify)*
1.			
2.			
3.			

In case Tax Identification Number is not available, kindly provide its functional equivalent.
In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

PART A *(to be filled by Financial Institutions or Direct Reporting NFEs)*

1.	We are a, Financial institution (Refer 1 of Part C) ☐ or Direct reporting NFE (Refer 3(vii) of Part C) ☐ (please tick as appropriate)	**GIIN** _____ **Note:** If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below Name of sponsoring entity _____
	GIIN not available (please tick as applicable)	☐ **Applied for** ☐ Not obtained – Non-participating FI ☐ Not required to apply for - please specify 2 digits sub-category ☐ (Refer 1 A of Part C)

PART B *(please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")*

1.	Is the Entity a publicly traded company *(that is, a company whose shares are regularly traded on an established securities market)* (Refer 2a of Part C)	Yes ☐ *(If yes, please specify any one stock exchange on which the stock is regularly traded)* Name of stock exchange_____
2.	Is the Entity a related entity of a publicly traded company *(a company whose shares are regularly traded on an established securities market)* (Refer 2b of Part C)	Yes ☐ *(If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)* Name of listed company_____ Nature of relation: ☐ Subsidiary of the Listed Company or ☐ Controlled by a Listed Company Name of stock exchange_____
3.	Is the Entity an active NFE (Refer 2c of Part C)	Yes ☐ Nature of Business_____ Please specify the sub-category of Active NFE ☐ (Mention code – refer 2c of Part C)
4.	Is the Entity a passiveNFE (Refer 3(ii) of Part C)	Yes ☐ Nature of Business_____

UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)

Category (Please tick applicable category): ☐ Unlisted Company ☐ Partnership Firm ☐ Limited Liability Partnership Company

☐ Unincorporated association / body of individuals ☐ Public Charitable Trust ☐ Religious Trust ☐ Private Trust

☐ Others (please specify_____)

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). *(Please attach additional sheets if necessary)*

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN #			
Address	Zip State: Country:	Zip State: Country:	Zip State: Country:
Address Type	☐ Residence ☐ Business ☐ Registered office	☐ Residence ☐ Business ☐ Registered office	☐ Residence ☐ Business ☐ Registered office
Tax ID %			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	☐ Service ☐ Business ☐ Others	☐ Service ☐ Business ☐ Others	☐ Service ☐ Business ☐ Others
Nationality			
Father's Name			
Gender	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) $			

* To include US, where controlling person is a US citizen or green card holder

If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

% In case Tax Identification Number is not available, kindly provide functional equivalent

$ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform MLB STOCK BROKING PRIVATE LIMITED for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name	
Designation	

Client Signature

Date : D D M M Y Y Y Y

Place :

For Investor convenience, MLB STOCK BROKING PRIVATE LIMITED collecting this mandatory information for updating across all Group Companies of MLB STOCK BROKING PRIVATE LIMITED whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest MLB STOCK BROKING PRIVATE LIMITED branch or you can dispatch the hard copy to-

MLB STOCK BROKING PRIVATE LIMITED

Regd. & Corr. Ofc: 9th Floor, Ofc No 901/902, Mall of Jaipur, Plot no 1, Kuber Complex Scheme, Gandhi Path Vaishali Nagar, Jaipur (Raj.)-302021

- For Detail Terms & Conditions please visit www.mlbstocks.com

DEMAT ACCOUNT OPENING FORM

MLB STOCK BROKING PRIVATE LIMITED

Depository Participant: CDSL

DP ID: 12101100 • SEBI Regn. No.: IN-DP- 792-2025

Client Name : .....

Client ID : **12101100** .....

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DEMAT ACCOUNT OPENING REQUIREMENTS

General Information for filling Application

1. Read the application form properly before filling it.
2. Application form should be filled in CAPITAL letters.
3. All required documents should be submitted for all the account holders.
4. Form should be complete in all respect.
5. Strike off whichever is not applicable.
6. All communication shall be sent at the address of the sole/first holder only.
7. Thumb impression and signature other than English or Hindi or any of the other language not contained in the 8th schedule of the Constitution of India must be attested by a Magistrate of Notary Public or a Special Executive Magistrate.

Documents valid for Proof of Identity and Proof of Address (submit & Tick any one)

	Proof of Identity (POI) *List of documents admissible as Proof of Identity :*		**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)*
	Unique Identification Number (UID) / Passport Voter ID Card / Driving License / PANCard with photograph		Passport / Voter Identity Card / Ration Card / Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill / Insurance copy
	Identity Card/Document with applicant's Photo, issued by any of the following : a) Central/State Government and its Departments, b) Statutory/Regulatory Authorities, c) Public Sector Undertakings, d) Scheduled Commercial Banks, e) Public Financial Institutions, f) Colleges affiliated to Universities g) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., To their Members, and h) Credit cards/Debit cards issued by Banks.		Utility bills like Telephone Bill (only land line), Electricity Bill or Gas Bill (not more than 2 months old)
			Bank Account Statement / Passbook (not more than 2 months old)
			Self Declaration by High Court and Supreme Court Judges, giving the new address in respect of their own accounts.
			Proof of address issued by the following : Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazatted Officer / Notary Public / Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
			Identity Card/Documents 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.
			For FII/sub account, Powre of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should betaken.
			The proof of address in the name of the spouse may be accepted.

☐ Fax Indemnity on Rs. 200/- Stamp Paper ☐ Power of Attorney is required on Rs. 100/- Stamp Paper

CHECKLIST

INDIVIDUALS

1. Copy of PAN Card.
2. Copy of Valid Identity Proof and Address Proof. (Address proof is to be submitted for permanent as well as correspondence address.)
3. Passport size Photograph.
4. Cancel Cheque together with latest Bank Statement/Pass book.
5. NRI's are required to submit address proof for Indian as well as Foreign address.

HUF

1. Copy of PAN Card of HUF / Karta.
2. Copy of Valid Identity Proof and Address Proof of Karta.
3. Passport size Photograph of Karta.
4. Declaration by HUF is desired format.
5. Cancel Cheque of HUF'S bank account together with latest Bank Statement/Passbook

MINOR

1. Copy of PAN Card of Minor.
2. Date of Birth certificate of Minor.
3. Copy of Valid Identity Proof and Address Proof of Guardian.
4. Passport size Photograph of Minor & Guardian.
5. Cancel cheque of Minor's Bank Account together with latest Bank Statement/Pass book.

CORPORATE

1. Copy of the balance sheets for the last 2 financial years (to be submitted every year).
2. 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).
3. Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.
4. Photograph, POI, POA, PAN of individual promoters holding control- either directly or indirectly.
5. Copies of the Memorandum and Articles of Association and certificate of incorporation.
6. Copy of the Board Resolution for investment in securities market.
7. Authorised signatories list with specimen signatures.

Separate KYC form is required for each joint holder.

(To be filled in by MLB STOCK BROKING PRIVATE LIMITED)

	NAME	DATE	INITIALS
Received by			
Checked by			
Entered by			

ACCOUNT OPENING FORM INDIVIDUALS

MLB STOCK BROKING PRIVATE LIMITED

SEBI REGN. NO.: IN-DP- 792-2025 • DP ID 12101100

Regd. & Corp. Office: 9th Floor, Office No # 901/902, Mall of Jaipur, Plot NO. 1, Kuber Complex Scheme, Gandhi Path, Vaishali Nagar, Jaipur Rajasthan -302021

Phone: +91-141-4799383 E-mail : info@mlbstocks.com, Website : www.mlbstocks.com

E-mail for Investors Grievance: info@mlbstocks.com

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT FOR INDIVIDUALS

(To be filled by the Depository Participant)

Application No.		Date	
DP Internal Reference No.			
DP ID	1 2 1 0 1 1 0 0	Client ID	

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a demat account in my/our name as per following details:

TYPE OF ACCOUNT (Please tick whichever is applicable)

☐ Individual	☐ Individual Resident	☐ Individual Director	☐ Individual Director's Relative
	☐ Individual HUF/AOP	☐ Individual Promoter	☐ Minor
	☐ Individual Margin Trading A/c (Mantra)		☐ Others (Specify)_____
☐ NRI	☐ NRI Repatriable	☐ NRI Non-Repatriable	☐ NRI Repatriable Promoter
	☐ NRI Non-Repatriable Promoter	☐ NRI - Depository Receipts	☐ Others (Specify)_____
☐ Foreign National	☐ Foreign National	☐ Foreign National-Depository Receipts	☐ Others (Specify)_____

HOLDERS DETAILS

Sole/First Holder's Name		PAN	
UID		Date of Birth	
Exchange Name & ID		UCC	
Second Holder's Name		PAN	
UID		Date of Birth	
Third Holder's Name		PAN	
UID		Date of Birth	

Name*_____

* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

OTHER DETAILS

Gross Annual Income Details	Income Range per annum: ☐ Up to Rs. 1,00,000 ☐ Rs. 1,00,000 to Rs. 5,00,000 ☐ Rs. 5,00,000 to Rs. 10,00,000 ☐ Rs. 10,00,000 to Rs. 25,00,000 ☐ More than Rs. 25,00,000
	Net Worth as on (date) D D M M Y Y Y Y Rs.
	(Net Worth should not be older than 1 year)
Occupation	☐ Private / Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculture ☐ Retired ☐ Housewife ☐ Student ☐ Others (specify) _____
Please tick, if applicable	☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP)
Any other information	

BANK DETAILS (Dividend Bank Details)	
Bank Code (9 digit MICR Code)	
IFS Code (11 Character)	
Account Number	
Account Type	☐ Saving ☐ Current ☐ Others (specify)_____
Bank Name	
Branch Name	
Bank Branch Address	
City	State	Country	PIN

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque books is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO.
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.

➢ In case of option (ii), (iii) and (iv) above, MICR Code of the branch should be present/mentioned on the document.

DETAILS OF GUARDIAN (in case the account holder is minor)			
Guardian's Name		PAN	
Relationship with the applicant			

I/We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be 'Yes')	[Automatic Credit] Yes ☐ No ☐
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end. (If not marked, the default option would be 'No')	Yes ☐ No ☐
Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
I/We request you to send Electronic Transaction-cum-Holding Statement at the email Id_____	Yes ☐ No ☐
I/We would like to share the email ID with the RTA	Yes ☐ No ☐
I/We would like to receive the Annual Report (Tick the applicable box. If not market the default option would be in Physical)	☐ Physical ☐ Electronic ☐ Both Physical & Electronic

I/We wish to receive dividend/interest directly in to my bank account as given below through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	Yes ☐ No ☐

SMS Alert Facility Refer to Terms & Conditions given as **Annexure 2.4**	MOBILE No.: +91-..... [Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	☐ Yes ☐ No
Transactions Using Secured Texting Facility (TRUST) Refer to Terms and Conditions **Annexure 2.6**	I/We wish to avail the TRUST facility using the Mobile Number registered for SMS Alert Facility, I/We have read and understood the Terms and Conditions prescribed by CDSL for the same. ☐ Yes ☐ No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST.	
	Stock Exchange Name/ID	**Clearing Member Name** / **Clearing Member ID (Optional)**
Easi	To register for ***easi***, please visit our website www.cdslindia.com. ***Easi*** allows a BO to view his ISIN balances, transactions and value of the portfolio online.	

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I /We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / mentioned by me / us in this form. I/We further agree that any false /misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

Nomination Form

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/23 dated February 24, 2022 on Nomination for Eligible Trading and Demat Accounts- Extension of timeline and relaxations for existing account holders]

☐ I/we hereby confirm that I/We **do not wish to appoint any nominee in my demat account** and understand the issues involved in non-appointment of nominees (s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my/ our demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the demat account. [Strike out what is not applicable] [Signature of all account holders should be obtained on this form]

	First/Sole Holder	**Second Holder**	**Third Holder**
Name			
Signature			

Note: Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination / opt out nomination].

☐ I/We nominate the following person/s who is entitled to receive all Assets / security balance lying in my/our account, particulars whereof are given below, in the event of the death of the sole holder or the death of all the Joint Holders.

TM /DP **MLB Stock Broking Pvt Ltd**	**FORM FOR NOMINATION** (*To be filled in by individual applying singly or jointly*)
	Nomination Regn. No

Date									**DP ID**	**1**	**2**	**1**	**0**	**1**	**1**	**0**	**0**	**Client ID**									
UCC Code																											
Name of sole / First Holder																											
Name of Second Holder																											
Name of Third Holder																											

I/We wish to make a nomination .[*As per details given below*]

Nomination Details

I/We wish to make a nomination and do here by nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

Nomination can be made up to three nominees in the account.			**Details of 1st Nominee**	**Details of 2nd Nominee**	**Details of 3rd Nominee**
1	**Name of the nominee(s)(Mr./Ms.)**				
2	**Share of each Nominee**	Equally [If not equally, please specify percentage]	%	%	%
			Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
3	**Relationship With the Applicant (If Any)**				
4	**Address of Nominee(s)**				
	City / Place :				
	State :				
	Country :				
	PIN Code				

5	**Mobile/Telephone No. of nominee(s)**			
6	**Email ID of nominee(s) #**			
7	**Nominee Identification details –[**Please tick any one of following and provide details of same] □Photograph & Signature □ PAN □ Aadhaar □ Saving Bank account no. □ Proof if Identity □ Demat Account ID			
Sr. Nos. 8-14 should be filled only if nominee(s)is a minor:				
8	**Date of Birth {in case of minor nominee(s)}**			
9	**Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}**			
10	**Address of Guardian(s)**			
	City / Place **:** State **:** Country **:**			
	PIN Code			
11	**Mobile/Telephone no. of Guardian**			
12	**Email ID of Guardian**			
13	**Relationship of Guardian with nominee**			
14	**Guardian Identification details– [**Please tick any one of following and provide details of same] □Photograph & Signature □ PAN □ Aadhaar □ Saving Bank account no. □ Proof if Identity □ Demat Account ID			

Note: Residual securities: incase of multiple nominee, remaining after distribution of securities as per percentage of allocation. Shall be transferred to the first nominee.

This nomination shall supersede any prior nomination made by the account holder(s), if any.

	First / Sole Holder	**Second Holder**	**Third Holder**
Name			
Signature			

Note: Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature (in both the cases i.e. nomination / opt out nomination.]

Details of the Witness

Name of witness	
Address of witness	
Signature of witness	

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s).

Depository Participant Seal and Signature.

ACCOUNT OPENING FORM NON-INDIVIDUALS

MLB STOCK BROKING PRIVATE LIMITED

SEBI REGN. NO.: IN-DP- 792-2025 • DP ID 12101100

Regd. & Corp. Office: 9th Floor, Office No # 901/902, Mall of Jaipur, Plot NO. 1, Kuber Complex Scheme, Gandhi Path, Vaishali Nagar, Jaipur Rajasthan -302021

Phone: +91-141-4799383 E-mail : info@mlbstocks.com, Website : www.mlbstocks.com

E-mail for Investors Grievance: info@mlbstocks.com

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT FOR NON-INDIVIDUALS

(To be filled by the Depository Participant)

Application No.		Date	
DP Internal Reference No.			
DP ID	1 2 1 0 1 1 0 0	Client ID	

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a demat account in my/our name as per following details:

HOLDERS DETAILS

Sole/First Holder's Name		PAN	
		UID	
Exchange Name & ID		UCC	
Second Holder's Name		PAN	
		UID	
Third Holder's Name		PAN	
		UID	
Search Name			

Name*_____

* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

TYPE OF ACCOUNT (Please tick whichever is applicable)

Status	Sub-Status (To be filled by the DP)
☐ Body Corporate ☐ Banks ☐ Trust ☐ Mutual Fund ☐ OCB ☐ FII ☐ CM ☐ FI ☐ Clearing House ☐ Other (Specify)_____	

SEBI Registration No. (if applicable)		SEBI Registration Date	D D M M Y Y Y Y
RBI Registration No. (if applicable)		RBI Approval Date	D D M M Y Y Y Y
ROC Registration No. (if applicable)		ROC Registration Date	D D M M Y Y Y Y
Nationality	☐ Indian ☐ Others (specify)_____		

I/We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be 'Yes')	[Automatic Credit] Yes☐ No ☐
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end. (If not marked, the default option would be 'No')	Yes☐ No ☐
Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly

I/We request you to send Electronic Transaction-cum-Holding Statement at the email Id_____	Yes ☐ No ☐
I/We would like to share the email ID with the RTA	Yes ☐ No ☐
I/We would like to receive the Annual Report (Tick the applicable box. If not market the default option would be in Physical)	☐ Physical ☐ Electronic ☐ Both Physical & Electronic

OTHER DETAILS

Gross Annual Income Details	Income Range per annum : ☐ Upto Rs. 1,00,000 ☐ Rs. 1,00,000 to Rs. 5,00,000 ☐ Rs. 5,00,000 to Rs. 10,00,000 ☐ Rs. 10,00,000 to Rs. 25,00,000 ☐ Rs. 25,00,000 to Rs. 1,00,00,000 ☐ More than Rs. 1,00,00,000
	Net Worth as on (date) D D M M Y Y Y Y Rs.
	(Net Worth should not be older than 1 year)
Please tick if any of the authorized signatories / Promoters / Partners / Karta/ Trutees / Whole Time Directors is either ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) Please provide details as per Annexure 2.2.A.	
Any other information	

CLEARING MEMBER DETAILS (To be filled by CMs only)

Name of Stock Exchange			
Name of CC / CH			
Clearing Member ID		Trading Member ID	

I/We wish to receive dividend/interest directly in to my bank account given below through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	Yes ☐ No ☐

BANK DETAILS (Dividend Bank Details)

Bank Code (9 digit MICR Code)											
IFS Code (11 Character)											
Account Number											
Account Type	☐ Saving ☐ Current ☐ Others (specify)_____										
Bank Name											
Branch Name											
Bank Branch Address											
City		State		Country		PIN					

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque books is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO.
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.

➢ In case of option (ii), (iii) and (iv) above, MICR Code of the branch should be present/mentioned on the document.

SMS Alert Facility Refer to Terms & Conditions given as **Annexure 2.4**	MOBILE No.: +91-..... [Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	☐ Yes ☐ No

Transactions Using Secured Texting Facility (TRUST) Refer to Terms and Conditions **Annexure 2.6**	I/We wish to avail the TRUST facility using the Mobile Number registered for SMS Alert Facility, I/We have read and understood the Terms and Conditions prescribed by CDSL for the same. ☐ Yes ☐ No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST.		
	Stock Exchange Name/ID	**Clearing Member Name**	**Clearing Member ID (Optional)**

Easi	To register for ***easi***, please visit our website www.cdslindia.com. ***Easi*** allows a BO to view his ISIN balances, transactions and value of the portfolio online.

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First / Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature	✍		

(Signatures should be preferably in black ink) ***(In case of more authorised signatories, please add annexure)***

RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI & DEPOSITORIES

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "*no charges are payable for opening of demat accounts*"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,

    1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.

    2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI

30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.

31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder

MLB STOCK BROKING PRIVATE LIMITED

SEBI REGN. NO. : IN-DP- 792-2025 • DP ID 12101100

Regd. & Corp. 9th Floor Ofc no. 901/902 Mall of Jaipur, Plot No. 1, Kuber Complex Scheme, Gandhi Path, Vaishali Nagar, Jaipur (Rajasthan)-302021

Phone: +91-141-4799383 Fax : +91-141-4799383

E-mail info@mlbstocks.com Website : www.mlbstocksbroking.com

Annexure-A

Terms & Conditions-Cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions :

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise.

Fees, Charges and deposits

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Tower, Dalal Street, Fort, Mumbai-400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. 'Alerts' means a customized SMS sent to the BO over the said mobile phone number.
6. 'Service Provider' means a cellular service provider(s) with whom the depository has entered/will be entering into an arrangement for providing the SMS alerts to the BO.
7. 'Service' means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability :

1. The service will be provided to the BO at his/her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The service may be discontinued for a specific period/indefinite period with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository.

   In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts :

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the services depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledge that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/or in accuracy. In case of BO observes any error in the information provided in the alert, the BO shall inform the depository and/or the DP immediately in writing and the depository will make best possible efforts to rectify the errors as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/suffered by the BO an account to avail SMS alerts facility.
5. The BO authorized the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com The BO is advised not to inform the service provider about any such unauthorized debit to/transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.

Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder

7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees :

Depository reserves the right to change such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer :

The depository shall made reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository will not be liable for any unauthorized use or access to the information and/or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by an third person.

Liability and Indemnity :

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, changes and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out or interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments :

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction :

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purpose of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/we further undertake to pay fee/charges as may be levied by the depository from time to time.

I/We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/are aware that more acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of registration/modification (Please cancel out what is not applicable).

DP ID	1	2	1	0	1	1	0	0	BO ID								

Sole/First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile No. on which messages are to be sent

+	9	1										

(Please write only the mobile number without prefixing country code or zero)

The Mobile Number is registered in the name of : _____

E-mail Id : _____

(Please write only ONE valid email Id on which communication; if any, is to be sent)

Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder

IN CASE OF JOINT HOLDING, ALL JOINT HOLDERS MUST SIGN.

***Please do not use correction fluid, all cuttings must be attested by all the joint holder(s).**

Place :..... Date :.....

Authorization for Debiting the Trading Accounts/Depository Charges for & Undertaking for the Payments of Interest in case of occurrence of Debit Balance

To, ***(VOLUNTARY)***

MLB Stock Broking Pvt. Ltd.
9th Floor Ofc no 901/902 Mall of Jaipur, Plot no 1, Kuber Complex Scheme, Gandhi Path, Vaishali Nagar, Jaipur, Rajasthan-302021

Dear Sir / Madam

I/We _____ residing at _____

_____

_____ maintain a trading account with client code _____ ("the said account") with **MLB Stock Broking Pvt. Ltd.** company incorporated and registered under the companies Act. 1956 and having its corporate office at **9th Floor ofc no 901/902 Mall of Jaipur, Plot no 1,Kuber Complex Scheme, Gandhi Path, Vaishali Nagar, Jaipur, Rajasthan-302021** Hereinafter called the broker (which expression shall unless it be repugnant to the context or meaning thereof mean and include its successors in title).

I/We authorize the MLB Stock Broking Pvt. Ltd. to debit the said Account for the service charges related to Depository Services payable by me/us for my/our BO account no. 12101100 _____

Thanking you

Yours Faithfully

✍ _____

(Signature of Client)

Witnessed:

BSDA DECLARATION

To,

MLB Stock Broking Pvt. Ltd.
9th Floor Ofc no 901/902 Mall of Jaipur, Plot no 1, Kuber Complex Scheme, Gandhi Path, Vaishali Nagar, Jaipur, Rajasthan-302021

Reg.: My/Our CDSL BO A/c No. 12101100_____

Dear Sir / Madam,

I/we am/are eligible to open a Basic Services Demat Account with your D.P. However, I/we wish to open my/our demat account as a regular account.

I/we request you to please do the needful.

Thanking you

Yours Faithfully

✍ _____

(Signature of Client)

Name:_____ **B.O. Account No.: 12101100_____**

CHARGES SCHEDULE FOR CDSL

MLB STOCK BROKING PRIVATE LIMITED

(VOLUNTARY)

Revised Tariff effective from 01 for CDSL BO Account

	Individual and HUF	Non-Individual (Corporate, LLP and Trust etc.)
Account Maintenance Charge (Per-annum)	Rs. 200/-	Rs. 700/-
KYC Charges	Rs. 35/-	
Dematerialisation	Rs. 3.00 per certificate Plus postage @ Rs. 25/- or actuals (whichever is higher) for each Company.	
Rematerialisation	Rs. 25.00 Per request	
Pledge / Unpledge and Confiscate	Rs. 25.00 Per request	
Confiscation	Rs. 9.00	
Delivery Instruction Book Charge	Rs. 30.00 Per Book (10 leaves) Rs. 150.00 Per Book (50 leaves)	
TRANSACTION CHARGES		
Deliveries (On Market & Off Market)	Rs. 8.00 per debit instruction	Rs. 12.00 per debit instruction

Any service not listed above will be charged for extra.

- Rejection charges @ Rs. 10/- per instruction will be levied.
- Postage charges @Rs. 50/- or actuals (which ever is higher) will be charged per instance for return of physical certificates rejected for dematerialization by the TRA.
- Taxes and other government levies extra as applicable from time to time.

Please place my / our account under scheme.....

(Sole/First Holder) (Second Holder) (Third Holder)

Revised Tariff effective from 01 for CDSL BO Account

S. No.	Particulars	Scheme For Individuals / HUF's (C)
1.	Life Time Maintenance Charges (Tenure 10 Years)	1st year AMC Rs. 1000/- & no AMC for remaining 9 years.
2.	KYC Charges	Rs. 35/-
3.	Dematerialization	Rs. 3/- per certificate plus postate @ Rs. 50/- or actuals (whichever is higher) for each Company.
4.	Rematerialisation	Rs. 25/- per request
5.	Pledge / Unpledge and Confiscate	Rs. 25/- per request
6.	Delivery Instruction Book Charges	Rs. 30/- per Book (10 leaves) Rs. 150/- per Book (50 leaves)
	TRANSACTION CHARGES	
	Deliveries (On Market and Off Market)	0.01% of value or Rs. 8/- whichever is higher

Any service not listed above will be charged for extra.

- Rejection charges @ Rs. 10/- per instruction will be levied.
- Postage charges @Rs. 50/- or actuals (which ever is higher) will be charged per instance for return of physical certificates rejected for dematerialization by the TRA.
- Taxes and other government levies extra as applicable from time to time.

Please place my / our account under scheme.....

(Sole/First Holder) (Second Holder) (Third Holder)

MLB STOCK BROKING PRIVATE LIMITED

SEBI REGN. NO. : IN-DP-792-2025 • DP ID 12101100

Regd. & Corp. Office : 9th Floor ofc no 901/902 Mall of Jaipur, Plot no 1,Kuber Complex Scheme, Gandhi Path, Vaishali Nagar, Jaipur, Rajasthan-302021

Phone : +91-141-4799383, E-mail : info@mlbstocks.com

TARIFF FOR INDIVIDUALS & NON INDIVIDUALS (Effective From 1st [redacted])

Description	BSDA Scheme '1' (Holding value upto 50,000/-)	BSDA Scheme '2' (Holding value between 50,001/- to 2,00,000/-)
Dematerialisation	Rs. 50/- Plus Rs. 3/- per Certificate	Rs. 50/- Plus Rs. 3/- per Certificate
Rematerialisation	Rs. 25/- Plus Rs. 200/- per Certificate	Rs. 25/- Plus Rs. 200/- per Certificate
Account Maintenance	NIL	Rs. 100/-
DIS Book (10 Leaves)	Rs. 30/-	Rs. 30/-
Delivery (Sale)	Rs. 50/- (.10% of value)	Rs. 50/- (.10% of value)
Pledge Creation	Rs. 25/-	Rs. 25/-
Pledge Closure and confiscation	Rs. 25/-	Rs. 25/-
Failed Invocation	Rs. 10/-	Rs. 10/-
Client Master Modification	Rs. 25/- per Instruction	Rs. 25/- per Instruction
Postage Charges	Statement Postage Rs. 25/-, Other Postage Rs. 40/-	

** Extra Statement Rs. 10/- upto 5 pages and Rs. 5/- per page for more than 5 pages.
** All charges relating to AMC, Demat, Remat, Transaction and Pledge will be payable upfront.
** No charges for Email, Telephone & Mobile updation.
** All Taxes & Cess extra as applicable.

DECLARATION

I hereby select scheme _____ to open my Demat Account. I further declare and abide myself from the above charges schedule and respective terms and conditions relating to the account.

_____	----------	----------
(Sole/First Holder)	(Second Holder)	(Third Holder)

MLB STOCK BROKING PRIVATE LIMITED

SEBI REGN. NO.: IN-DP-792-2025 • DP ID 12101100
Regd. & Corp. Office: 9th Floor Ofc no 901/902 Mall of Jaipur,
Plot no 1, Kuber Complex Scheme, Gandhi Path,
Vaishali Nagar, Jaipur, Rajasthan-302021
Phone: +91-141-4799383, E-mail: info@mlbstocks.com

(To be filled by the Depository Participant)

Client ID	1	2	1	0	1	1	0	0								

	First / Sole Holder	Second Holder	Third Holder
Name			
Specimen Signature			

Please Tear Here

MLB STOCK BROKING PVT. LTD.

Application No. **ACKNOWLEDGEMENT RECEIPT** Date _____

We hereby acknowledge the receipt of the Account Opening Application Form:

Name of the Sole / First Holder	
Name of Second Joint Holder	
Name of Third Joint Holder	

For **MLB Stock Broking Pvt. Ltd.**

Authorised Signatory
Depository Participant Seal and Signature

Please Tear Here

MLB STOCK BROKING PVT. LTD.

Nomination Acknowledgement Receipt

Received nomination request from :

Client ID	1	2	0	3	1	4	0	0								
Name																
Address																
Nomination in favor of																
Registration No.							Registered on									

For **MLB Stock Broking Pvt. Ltd.**

Authorised Signatory
Depository Participant Seal and Signature

Annexure A

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

MLB STOCK BROKING PRIVATE LIMITED

SEBI REGN. NO.: IN-DP-792-2025 • DP ID 12101100
Regd. & Corp. Office: 9th Floor Ofc no 901/902 Mall of Jaipur,
Plot no 1, Kuber Complex Scheme, Gandhi Path,
Vaishali Nagar, Jaipur, Rajasthan-302021
Phone: +91-141-4799383, E-mail: info@mlbstocks.com

VOLUNTARY FREEZING/BLOCKING OF THE ONLINE TRADING ACCOUNT POLICY

Version 1.0

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1 Introduction

This policy (v 1.1) has been framed as per the SEBI Circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 and Exchange Circular no. NSE/INSP/60277 dated January 16, 2024 on the subject *"Ease of Doing Investments by Investors - Facility of voluntary freezing/ blocking of Trading Accounts by Clients".*

Accordingly, this document has been derived from the framework presented by the exchange in response to the aforementioned circulars, via the Exchange Circular no.: NSE/INSP/61529 dated April 08, 2024 on the subject: *"Framework for Trading Members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients".*

This document is a handbook for the clientele of MLB Stock Broking Pvt. Ltd. (*hereinafter referred to as MLBSBPL*), outlining the process and mode(s) through which they can request to freeze / block & unfreeze/unblock their trading account.

2 Purpose

The procedures outlined herein are per regulatory requirements in the aforementioned circulars. All clients are requested to note that the forthcoming guidelines are issued to facilitate the freezing/blocking of their respective online trading accounts upon explicit requests from the client's end in case they notice any suspicious activity on their trading accounts.

A few instances of suspicious activities would include:

- Fresh positions being taken without the client's knowledge or action.
- Holdings being sold without the client's knowledge or action.
- A client is unable to access his/her account.
- A client notices a change in their linked bank account/ email/ mobile number without them having placed a request.
- A share transfer via gift/easiest is initiated without the client's knowledge or action.

3 Scope and Applicability

This policy applies to all trading members and their clients who wish to voluntarily freeze or block online access to their trading accounts.

4 Procedure to Freeze/Block the Online Trading Account

4.1 Timelines

In line with regulatory requirements, upon the explicit request from a client to block online access to their trading account through any of the modes mentioned in the forthcoming sections, all efforts will be taken by MLBSBPL Personnel to fulfill the request as per the below timelines:

a. For requests received within trading hours, all efforts shall be taken to block the account within 15 min.

For requests received after trading hours up until 15 minutes before the market opening time, all efforts will be taken to block the account before the start of the next trading session

4.2 Mediums

Clients can report suspicious activities on their trading account via the following mediums:

a. By mailing on the dedicated email ID: stoptrade@pfslindia.co.in

b. By calling the dedicated number: **0141-4799383** (between 8:30 am and 6:00 pm)

4.3 Verification (Mandatory)

- Requests raised on calls
  - Clients should call the dedicated number, **0141-4799383,** from their registered phone numbers (number registered with MLBSBPL).
  - Please note that stringent identity verification will be conducted before considering any client's block requests. Hence, all clients are requested to keep all basic Personal Identification Information (PII) handy to facilitate the smooth and fast processing of requests.
- Requests raised via dedicated Email
  - Clients are recommended to mail from their registered email address (email ID registered with MLBSBPL).
  - Clients are requested to give relevant and detailed information regarding the suspicious activity they have noticed in their trading accounts.
  - Clients who have raised block requests by mail shall receive a call back promptly from MLBSBPL personnel. Hence, they are advised to answer the call without fail.

5 Procedure to Unfreeze/Unblock the Online Trading Account

- Clients can unfreeze/unblock their online trading accounts by raising a request via any of the modes prescribed under section 4.2.
- Requests to unfreeze or unblock accounts must be processed promptly to restore client access

6 Duration and Conditions

- 6.1 Clients can specify the duration for which they want their accounts to be frozen. If no duration is specified, the freeze will remain until the client requests to unfreeze it.
- 6.2 Blocking requests are considered long-term and will require a formal request to lift the block.

7 Clarifications

It is clarified that:

a. Freezing/blocking is only for online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of PFSL.

b. The request for freezing/blocking does not constitute a request for a mark marking the client's Unique Client Code (UCC) as inactive in the Exchange records.

Effective Date: July 1st, 2024
Approved by: Prem Ratan Bhaiya (Director)

MLB STOCK BROKING PRIVATE LIMITED

SEBI REGN. NO.: IN-DP-792-2025 • DP ID 12101100
Regd. & Corp. Office: 9th Floor Ofc no 901/902 Mall of Jaipur,
Plot no 1, Kuber Complex Scheme, Gandhi Path,
Vaishali Nagar, Jaipur, Rajasthan-302021
Phone: +91-141-4799383, E-mail: info@mlbstocks.com

Dear Esteemed Client,

1. Kindly note that we are not required to have a Business Continuity / Disaster Recovery (DR) Plan / Site under the existing regulatory provisions and as per guidelines issued by the Stock Exchange/s.

2. We have provided you with a copy of Investor Charter -- Stock Brokers & Depository Participants.

3. Kindly note that the stockbroker / stockbroker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (POA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute POA or DDPI.

4. Kindly note that we do Proprietary trading as Trading Member of NSEIL and BSE.

5. Kindly specify your **Trading Preferences.**

TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE & BSE			
Segments & Signature	EQUITY NSE	EQUITY BSE	FNO NSE	FNO BSE

If you do not wish to trade in any of segments, please mention here

.....

Signature: .....

Client Name:

Client Code:

Place: Date:

ACCOUNT CLOSURE FORM

MLB STOCK BROKING PRIVATE LIMITED

Application No.		Date								
Closure Initiated by	☐ BO ☐ DP ☐ CDSL									

(To be filled by the BO. (In case of BO-initiated closure) Please fill all the details in **Block Letters** in English)

To,

MLB Stock Broking Pvt. Ltd.

Regd. & Corp. Office: 9th Floor Ofc no 901/902 Mall of Jaipur,

Plot no 1, Kuber Complex Scheme, Gandhi Path,

Vaishali Nagar, Jaipur, Rajasthan-302021

Dear Sir / Madam,

I / We the Sole Holder / Joint Holders / Guardian (in case of Minor) / Clearing Member requests you to close my / our account with you from the date of this application. the details of my/our account are given below:

Account Holder's Details																		
DP ID	1	2	1	0	1	1	0	0	Client ID									
Name of the First / Sole Holder																		
Name of the Second Holder																		
Name of the Third Holder																		
Address for Correspondence																		
City								State					PIN					

Details or remaining security balances in the account (if any)																		
Reason for Closing the Account																		
Balance remaining in the account (if any) to be:																		
☐ Partly rematerialised and partly transferred.													☐ Rematerialised					
☐ Transferred to another account (number given below)													☐ Not applicable					
DP ID									Client ID									
Balance present in a/c for (To be filled by DP, if applicable)	☐ Ear- marked ☐ Pending for Dematerialisation ☐ Pending for Rematerialisation												☐ Pledged ☐ Frozen ☐ Lock-in					

DECLARATION: In case of Account Closure due to SHIFTING ACCOUNT:

I/We declare and confirm that all the transactions in my/our demat account are true/authentic.

	First / Sole Holder	**Second Holder**	**Third Holder**
Name			
Signature			

*If DP or CDSL initiates account closure, Signature(s) of account holder(s) not required.

For MLB Stock Broking Pvt. Ltd.

(Authorized Signatory)

OPTION FORM FOR ISSUE OF DIS BOOKLET

									Date									
DP ID	1	2	1	0	1	1	0	0	Client ID									

First Holder Name	
Second Holder Name	
Third Holder Name	

To,
MLB Stock Broking Pvt. Ltd.
Office No. 901/902, 9th Floor, Mall of Jaipur, Plot No. 1, Kuber Complex Scheme, Gandhi Path, Vaishali Nagar, Jaipur-302021, Raj.

Dear Sir / Madam,

I / We hereby state that: [Select one of the options given below]

OPTION 1:

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account though I / we have issued a Power of Attorney (POA) / registered for eDIS / executed PMS agreement in favour of / with _____(name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such $Power of Attorney holder - Clearing Member / by PMS manager/ for executing delivery instructions through eDIS.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

OR

OPTION 2:

I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a POA/ registered for eDIS / executed PMS agreement in favour of / with _____(name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [sett lement related transactions] effected through such Power of Attorney Holder - Clearing Member / by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

Depository Participant Seal and Signature

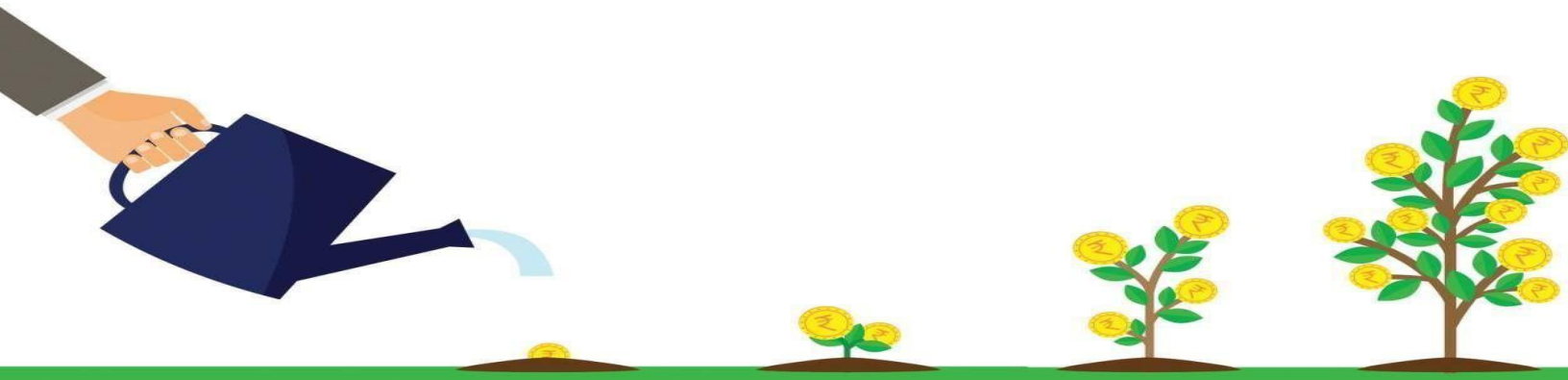
CHECK LIST FOR CLIENT REGISTRATION FORM

FORM RECEIVING DATE: ACCOUNT OPENING DATE: TM DP	BRANCH CODE: GROUP CODE:	CLIENT CODE TM: DP:

1.	CHECKING DETAILS	YES	REMARKS
a)	Name as it appears on the ID & Address Proof (in capital letter)		
b)	Signature of Client on all pages and wherever necessary (Witness wherever required) ☐		
c)	Signature Checked and Verified.		
d)	Photograph (duly signed) ☐		
e)	A copy of PAN Card (Self Attested) ☐		
f)	Address Proof (Self Attested) ☐		
g)	Bank Proof containing Client Name (Self Attested) ☐		
h)	Demat Account Proof (Self Attested) ☐		
i)	Stamp Paper: NSE ☐ BSE ☐ DP ☐ POA ☐		
j)	Brokerage: Intra Day_____ Min_____ Delivery_____ Min_____ F & O Intra Day_____ EOD_____ Option_____		
k)	Exchange given: ☐ NSE CM ☐ NSE F&O ☐ NSE Currency ☐ BSE CM ☐ BSE F&O		
2.	**Franchisee and Client to be informed if any of the above details are missing or invalid by_____Date_____Time_____**		
3.	**Details Punched in Computer by TM_____ DP_____**		
4.	**Cross Checking done by TM_____ DP_____**		
5.	**UCC UPLOADED:** ☐ NSE ☐ BSE ☐ ENTERED IN FORM DATA		
6.	**BACK-OFFICE WEB LOGIN** Username ID_____Password _____		
7.	**DP WEB LOGIN** Username ID_____Password _____		
8.	**Form sent to Surveillance by_____Date:_____ Time:_____**		
9.	**Client ID Mapping done by _____** Branch ID_____User ID:_____Dealer ID:_____		
10.	**INTERNET TRADING** ☐ Odin Diet ☐ I-Net User ID_____Password _____		
11.	**Form sent to DP by**_____Date:_____Time:_____		
12.	**Client Instruction Book issued by**		
13.	**Client Account Status Report issued by**		
14.	**Form Returned to Compliance by**_____Date:_____Time:_____		
15.	**Kit Dispatched on_____(Date)**		

MLB

Partner in Growth



MLB STOCK BROKING PRIVATE LIMITED

Member: National Stock Exchange of India Limited
Member: Bombay Stock Exchange Limited
SEBI Regn. No.: INZ000305131

Depository Participant: CDSL • DP ID: 12101100
SEBI REGN. NO.: IN-DP-792-2025

Correspondence Office Address:
9th Floor, Office No. 901/902, Mall of Jaipur, Plot No.1, Kuber Complex Scheme, Gandhi Path
Vaishali Nagar, Jaipur, Rajasthan -302021 Phone No.: 0141-4799383
Registered Office Address:
9th Floor, Office No. 901/902, Mall of Jaipur, Plot No.1, Kuber Complex Scheme, Gandhi Path
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