

Name of Stock Broker: MNM Stock Broking Private Limited

CIN : U93030GJ2010PTC062882

Corporate & Correspondence Office : 101-102, J. P. Complex,
Opp. C. N. Vidhyalay, Nr. Ambawadi Circle, Ambawadi,
Ahmedabad-380 015. (Guj.) INDIA.
Phone : +91-79-26464676 E-mail : mnmcare@mnmsshares.com

Membership & SEBI Registration			
Exchange	Segment	Clearing No	SEBI Reg. No & Date
NSE	Capital, F & O, Currency & Commodity	90080	Single SEBI Registration INZ000001933 Date: 05 JAN 2015
BSE	Capital, F & O, Currency & Commodity	6579	
MCX	Commodity	56380	
CDSL	Depository participant (DP)	12081300 IN/DP/75/2015	06 May 2015

Name Of Clearing Member	
Capital Cash Market	MNM Stock Broking Pvt. Ltd.
F&O , Currency & Commodity	Globe Capital Market Limited SEBI Reg. No : INZ000177137

CEO Details: Name: Mr. Vikrant Modi Contact No: 079 26464676 Email Id: mnmsstockbroking@yahoo.com	Compliance Officer: Name: Mr. Nilesh Modi Contact No: +91 7069022321 Email Id: compliance@mnmsshares.com
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For any grievance/dispute please contact MNM Stock Broking Pvt Ltd on above address or email id .In case not satisfied with the response, Please contact the concerned exchange(s) at:

Exchange	Email Id	Phone No
Bombay Stock Exchange	is@bseindia.com	022-22728517/8097
National Stock Exchange	ignse@nse. co.in	1800220058
MCX	girevance@mcxindia.com	022-66494070/022-6738888
CDSL	complaints@cdslindia.com	022-22723333

You can also lodge your grievance with SEBI at <https://scores.gov.in/scores> or Smart ODR portal at <https://smartodr.in/login>. For any queries, feedback or assistance please contact SEBI on Toll Free helpline at 1800 221515/1800 266 7575.

SEBI Investor Education & Awareness website: <https://investor.sebi.gov.in/>

FOR OFFICE USE ONLY
MNM STOCK BROKING PVT LTD

Client risk categorisation under PMLA: (Tick (✓) any one) ☐ Low risk ☐ Medium risk ☐ High risk
 CSC ☐ Yes ☐ No

	Documents 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 uniform documents like Rights and obligations, Risk disclosure documents (RDD), Guidance note-Dos and Don'ts, Policy and Procedures, Most important terms and conditions (MITC), Tariff sheet and other non-mandatory documents. A copy of these documents have given/sent to client and I/We undertake that any change in Policy and procedure, tariff sheet and all the non-mandatory documents would be duly intimated to the client. I/We also undertake that if any change in the Rights and obligations, RDD, Guidance note and MITC documents would be made available on our website for information of the clients.

For MNM Stock Broking Pvt. Ltd

Authorised Signatory

Date:- ____/____/____

Introduced by:		☐ Existing Client	☐ Authorized Person
		☐ Others (please specify): _____	
Name of the Introducer			
Introducer's Address			
Introducer's Contact No.		Introducer's E mail Id	
UCC of the Introducer (if registered with the Trading Member)			

(In case the Introducer is not registered with the Trading Member, Kindly provide details of the introducer.)

Instructions / Guidelines for filling Individual KYC Application Form

A. General Instructions :

- Self-attestation of documents is mandatory.
- Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 below list mentioned list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent addresses are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCI Card and overseas address proof is mandatory,
- For foreign entities, CIN is optional; and in absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- 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.
- Politically exposed persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country e.g., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

B. Proof of Identity (POI) :

- PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
- Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport/Voter ID card/Driving License/Letter issued by NPR/NREGA job card
- If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- Mention identification / reference number if 'Z Others (any document notified by the central government)' is ticked.
- Others Identity card with applicant's photograph issued by any of the following: Central/ State Government 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) :

- PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
- Others includes - Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India

Instructions / Guidelines for filling Individual KYC Application Form

- Identity card/document with address issued by any of the following: Central/ State Government 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.
- Self-declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
- For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/or apostilled or consularized) that gives registered address should be taken.
- Proof of address in name of spouse may be accepted.
- Registered lease or Sale agreement/Flat maintenance bill / Insurance copy/Ration card/ Latest Property tax
- Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport/Voter ID card/Driving License/Letter issued by NPR/NREGA job card

D. Exemptions/Clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected):

- Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
- Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card de-tails with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents :

- Authorized officials of Asset Management Companies (AMCs).
- Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
- KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational
- Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- 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.

Index of Documents

Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, EXCHANGES & DEPOSITORY			
1	KYC and Account Opening Form (For Trading and Demat Account)	A. KYC Form documents captures the Basic information about the client an instruction/checklist	06 - 14
		B. Document captures the Additional Information about the client relevant to Trading Account and Demat account	15 - 17
2	Tariff Sheet for Trading and Demat Account	A. Document provides details of charges for depository services	18
		B. Document provides details of rate / amount of brokerage and other charges levied on the client for trading on the Stock Exchange(s)	19
3	Nomination Details	Details of Nomination eligible in Client's Demat account	20 - 21
4	Demat Debit & Pledge Instruction (DDPI)	Demat Debit and Pledge Instruction (DDPI) given by Client in favour of MNM Stock Broking Pvt. Ltd.	22 - 23
5	FATCA-CRS Declaration	FATCA & CRS Declaration by all account holder(s)	24 - 27
6	Issuance of DIS Booklet	Consent letter for Issuance of Delivery Instruction Slip Booklet by Depository Participant	28
7	Rights & Obligations of beneficial owner and depository participant	Document stating the rights and obligations of beneficial owner and Depository Participant for Demat account as prescribed by SEBI and Depositories	29
8	Most Important Terms & Conditions (MITC)	Document stating the standard Most Important Terms and Conditions (MITC) prescribed by SEBI and Exchange(s)	30
9	Policies and Procedures	Document describes significant policies and procedures of the Stock Broker	31 - 34
10	Internet & Wireless Trading Consent	Internet & wireless technology based trading facility provided by stock broker to the client	35
11	Running Account Authorisation	Letter of Authorisation for maintaining a Running Account with MNM	36
12	Letter of Operation of Account (Undertaking)	Various operative instructions to the stock broker for day to day operation of account of the client including authority for debit of depository charges	37 - 39
13	Authorization Letter	Authorization Letter for Electronic Communication / Electronic Contract Note (ECN)	40
14	DECLARATION BY KARTA	DECLARATION BY KARTA	41
15	AADHAR CONSENT	AADHAR UPDATION CONSENT-VOLUNTARY	42
16	ACKNOWLEDGMENT OF CONFIRMATION	ACKNOWLEDGMENT OF CONFIRMATION	43
17	RIGHTS AND OBLIGATIONS OF STOCK BROKER AND CLIENT	Document states the Rights & Obligations of the Stock Broker, Sub-Broker and Client for trading on exchanges (including additional rights & obligations in case of Internet / Wireless Technology based tradings)	INCLUDED IN CLIENT COPY
18	Risk Disclosure Document (RDD)	Document provides the details of risks associated while dealing in the Securities Market	
19	Guidance Note	Document details Do's and Don'ts for trading on Exchanges, for the education of the investors	
20	Investor Charter	Details of Investor Charter as prescribed by SEBI, Exchange(s) and Depositories	

MNM STOCK BROKING PVT LTD

CLIENT DETAILS FOR NEW ACCOUNT OPENING

***All Details are compulsory** Individual

NAME :	
FATHER NAME	
MOTHER NAME	
OCCUPATION	
EDUCATION	
MOBILE NO (PRIMERY)	
MOBILE NO (ADDITIONAL)	
EMAIL ID	
ANNUAL INCOME	
MARITAL STATUS	
NOMINEE NAME	
NOMINEE RELATION	

Client Sign:

Sole / First Account Holder

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

Important Instructions : A) Field 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 / instruction 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 applicatio. H) For particular section update, please tick (0) in the box available before the section number and strike off the sections is not required to be updated.

For Office use only (To be filled by financial institution)	Application Type*	☐ New	☐ Update	☐ Re-activation
	KYC Number			
	Account Type*	☐ Normal	☐ Minor	☐ Aadhar OTP based E-KYC (in non-face to face mode)

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

Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof) _____			
Middle Name (If any*) _____			
Father / Spouse Name* _____			
Mother Name _____			
Date of Birth _____			
Gender*	☐ M- Male	☐ F - Female	☐ T-Transgender
Marital Status*	☐ Married	☐ Unmarried	☐ Others
Citizenship*	☐ IN- Indian	☐ Other (ISO 3166 Country Code)	
Residential Status*	☐ Resident Individual	☐ Non Resident Indian	
	☐ Foreign Nationa	☐ 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 Categorized		
PAN	☐ Form 60 furnished		PHOTO Signature / Thump Impression

☐ **2. PROOF OF INDENTITY AND ADDRESS** (Please refer to **B** at the end)

I. Certified copy of OVD of equivalent edocument of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A - Passport Number _____
- ☐ B - Voter ID Card _____
- ☐ C - Driving Licence _____
- ☐ D - NREGA Job Card _____
- ☐ E - National Population Register Latter _____
- ☐ F - Proof of possession of Aadhar _____
- I ☐ E - KYC Authentication _____
- III ☐ Offline verification of Aadhar _____

Address

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

☐ **3. CURRENT ADDRESS DETAILS** (Please refer to **B** at the end)

☐ Same as above mentioned address (In such cases address details as below need to be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A - Passport Number _____
- ☐ B - Voter ID Card _____
- ☐ C - Driving Licence _____
- ☐ D - NREGA Job Card _____

- ☐ E - National Population Register Letter _____
- ☐ F - Proof of possession of Aadhar _____

II ☐ E - KYC Authentication _____

III ☐ Offline Verification of Aadhar _____

IV ☐ Deemed proof of Address - Document Type Code _____

V ☐ Self Declaration

Address

Line 1* _____

Line 2 _____

Line 3 _____ City / Town / Village* _____

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

☐ **4. CONTACT DETAILS** (All communications will be sent to Mobile Number / Email ID Provided) (Please refer instruction C at the end)

Tel. (Off.) -- _____ Mobile _____

Tel. (Res.) -- _____ Email ID _____

Mobile No.	My Self ☐	Spouse ☐	Son ☐	Daughter ☐	Father ☐	Mother ☐
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E-mail ID	My Self ☐	Spouse ☐	Son ☐	Daughter ☐	Father ☐	Mother ☐
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☐ **5. REMARKS** (if any)

☐ **6. 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

Date : _____ Place : _____

(Signature / Thumb Impression)

Signature / Thumb Impression of Applicant

7. ATTENSTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UADI ☐ Data received from Offline verification
☐ Digital KYC Process ☐ Equivalent e-document ☐ Video based KYC

KYC VERIFICATION & IN-PERSON VERIFICATION (IPV) CARRIED OUT BY

INSTITUTION DETAILS

Date _____

Emp. / AP Name _____

Emp. / AP Code _____

Emp. / AP Designation _____

Emp. / AP Branch _____

NAME
MNM STOCK BROKING PVT. LTD.

Code
CKYC NO. : IN0626
CVL KRA : 1200006579

(Employee Signature)

Second Account Holder

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

Important Instructions : A) Field 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 / instruction 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 (0) in the box available before the section number and strike off the sections is not required to be updated.

For Office use only (To be filled by financial institution)	Application Type*	☐ New	☐ Update	☐ Re-activation
	KYC Number			
	Account Type*	☐ Normal	☐ Minor	☐ Aadhar OTP based E-KYC (in non-face to face mode)

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

Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof) _____			
Middle Name (If any*) _____			
Father / Spouse Name* _____			
Mother Name _____			
Date of Birth _____			
Gender*	☐ M- Male	☐ F - Female	☐ T-Transgender
Marital Status*	☐ Married	☐ Unmarried	☐ Others
Citizenship*	☐ IN- Indian	☐ Other (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 Categorized		
PAN	_____		☐ Form 60 furnished

PHOTO

Signature / Thumb Impression

☐ 2. PROOF OF INDENTITY AND ADDRESS (Please refer to B at the end)

I. Certified copy of OVD of equivalent edocument of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

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☐ E - National Population Register Letter	_____
☐ F - Proof of possession of Aadhar	_____
I ☐ E - KYC Authentication	_____
III ☐ Offline verification of Aadhar	_____

Address

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

☐ 3. CURRENT ADDRESS DETAILS (Please refer to B at the end)

☐ Same as above mentioned address (In such cases address details as below need to be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A - Passport Number _____
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☐ E - National Population Register Letter _____

☐ F - Proof of possession of Aadhar _____

II ☐ E - KYC Authentication _____

III ☐ Offline Verification of Aadhar _____

IV ☐ Deemed proof of Address - Document Type Code _____

V ☐ Self Declaration

Address

Line 1* _____

Line 2 _____

Line 3 _____ City / Town / Village* _____

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

☐ 4. CONTACT DETAILS (All communications will be sent to Mobile Number / Email ID Provided) (Please refer instruction C at the end)

Tel. (Off.) -- _____ Mobile _____

Tel. (Res.) -- _____ Email ID _____

Mobile No.	My Self ☐	Spouse ☐	Son ☐	Daughter ☐	Father ☐	Mother ☐
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E-mail ID	My Self ☐	Spouse ☐	Son ☐	Daughter ☐	Father ☐	Mother ☐
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☐ 5. REMARKS (if any)

☐ 6. 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

Date : _____ Place : _____

(Signature / Thumb Impression)

Signature / Thumb Impression of Applicant

7. ATTENSTATION / FOR OFFICE USE ONLY

Documents Received

- ☐ Certified Copies ☐ E-KYC data received from UADI ☐ Data received from Offline verification
- ☐ Digital KYC Process ☐ Equivalent e-document ☐ Video based KYC

KYC VERIFICATION & IN-PERSON VERIFICATION (IPV) CARRIED OUT BY

Date _____

Emp. / AP Name _____

Emp. / AP Code _____

Emp. / AP Designation _____

Emp. / AP Branch _____

INSTITUTION DETAILS

NAME
MNM STOCK BROKING PVT. LTD.

Code
CKYC NO. : IN0626
CVL KRA : 1200006579

(Employee Signature)

Know Your Client

Application Form (For Non-Individuals Only)

Please fill in **ENGLISH** and in **BLOCK LETTERS**

Application No.:

A. Identity Details (please see guidelines overleaf) 1. Name of Applicant (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name). Name _____ _____ 2. Date of Incorporation _____ Place of Incorporation _____ 3. Registration No. (e.g. CIN) _____ Date of commencement of business _____ 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 _____ 5. Permanent Account Number (PAN) (MANDATORY) _____ Please enclose a duly attested copy of your PAN Card		Please affix the recent passport size photograph and sign across it
B. Address Details (please see guidelines overleaf) 1. Address for Correspondence _____ _____ _____ City/Town/Village _____ Pin code _____ State _____ Country _____ 2. 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 ☐ Driving Licence ☐ Voter's Id ☐ Passport ☐ UID (Aadhar) ☐ Any other proof of address document (as listed overleaf). (Please specify) * Not more than 2 Months old. Validity/Expiry date of proof of address submitted d d / m m / y y y y 3. Contact Details Tel (Off.) (ISD) (ISD) _____ Tel. (Res) (ISD) (ISD) _____ Mobile (ISD) (ISD) _____ (ISD) (ISD) _____ E-Mail Id _____ 4. Registered Address (If different from above) _____ _____ _____ City /Town / Village _____ PinCode _____ State _____ Country _____		

C. Other Details (please see guidelines overleaf) 1. Name, PAN, DIN/Aadhaar Number, Residential address and Photographs of Promoters/Partners/Karta/Trustees/whole time directors (Please use the Annexure to fill in the details) 2. Any other information: _____	
DECLARATION I 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: _____	

MNM STOCK BROKING PVT LTD

FOR OFFICE USE ONLY

- ☐ (Originals Verified) Self Certified Document copies received
- ☐ (Attested) True copies of documents received
- Main Intermediary

DETAILS OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLE TIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC)
APPLICATION FORM FOR NON INDIVIDUALS

Name of Applicant :		PAN of the Applicant :					
Sr. No.	PAN	NAME	DIN (For Directors)/ Aadhaar Number (For Other)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, Wholetime directors (etc.))	Whether Politically Exposed	Photograph
						☐ PEP ☐ RPEP ☐ NO	Please affix the recent passport size photograph and sign across it
						☐ PEP ☐ RPEP ☐ NO	Please affix the recent passport size photograph and sign across it
						☐ PEP ☐ RPEP ☐ NO	Please affix the recent passport size photograph and sign across it
						☐ PEP ☐ RPEP ☐ NO	Please affix the recent passport size photograph and sign across it
						☐ PEP ☐ RPEP ☐ NO	Please affix the recent passport size photograph and sign across it

X _____
 Name & Signature of the Authorised Signatory (ies)

ADDITIONAL KYC DETAIL FOR TRADING AND DEMAT ACCOUNT

FOR INDIVIDUAL ACCOUNT:

1. Gross Annual Income details in Rs. (Please write Number) 1 Below 1 lac 2 1-5 lac 3 5-10 lac 4 10-25 lac 5 > 25 lacs OR ☐ 1st Holder ☐ 2nd Holder ☐ 3rd Holder (Please show relevant no. against each Holder as applicable)	Networth in Rupees : 1st Holder : Rs. _____ 2nd Holder : Rs. _____ 3rd Holder : Rs. _____ Net-worth in Rs.as on date _____ (Net-worth should not be older than 1 year)
2. Occupation (Please choose any one and give brief details): 1 Private Sector 2 Public Sector Service 3 Government Service 4 Business 5 Retired 6 Farmer 7 Professional 8 Agriculturist 9 Housewife 10 Student 11 Others(specify) _____ ☐ 1st Holder ☐ 2nd Holder ☐ 3rd Holder (Please write relevant no. against each Holder as applicable)	
3. Please tick if applicable: Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person(PEP) ☐ Not a Related to Politically Exposed Person (PEP) ☐	

FOR NON INDIVIDUAL ACCOUNT:

1. Gross Annual Income details in Rs. (Please tick ()): ☐ Upto 1 lac ☐ 1-5 lac ☐ 5-10 lac ☐ 10-25 lac ☐ 25 lac -1 Crore ☐ > 1 Crore Net-worth in Rs. _____ as on date _____ (Net-worth should not be older than 1 year)
3. If any of the authorized signatories/Promoters/Directors/Partners/Karta/Trustees/Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) ☐ Yes ☐ No (If Yes, please fill-up details in below Annexure 2.2 A)
4. Any other Information:

ANNEXURE - 2.2 A

Details of Politically Exposed Persons (PEP) / Related to Politically Exposed Person (RPER) (For Non - Individual)

Sr. No.	Name of the Authorised signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors	Relation with the Applicant (i.e. promoters, whole time directors etc.	Please tick the relevant option.
			☐ PEP ☐ RPEP
			☐ PEP ☐ RPEP
			☐ PEP ☐ RPEP
			☐ PEP ☐ RPEP
			☐ PEP ☐ RPEP

	Sole / First / Holder Authorised Signatory	Second / Holder Authorised Signatory	Third / Holder Authorised Signatory
Name			
Signature	X	X	X

PEP: Politically Exposed Person

RPEP: Related to Politically Exposed Person

ADDITIONAL DETAILS FOR OPENING DEMAT ACCOUNT (Individual)

TYPE OF ACCOUNT * (Tick whichever is applicable)

- | | | |
|---|--|--|
| ☐ Ordinary Resident | ☐ NRI-Repatriable | ☐ NRI-Non Repatriable |
| ☐ Qualified Foreign Investor | ☐ Foreign National | ☐ Promoter |
| ☐ Margin | ☐ Others (Please specify) _____ | |

(To be filled by 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 No. _____

Second Holder's Name _____

PAN No. _____

Third Holder's Name _____

PAN No. _____

*In case of Association of persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the PAN of the Association of Person (AOP), Partnership Firm, Unregistered Trust, etc., Should be mentioned below.

Name* _____

PAN _____

In case of NRIs / Foreign Nationals

RBI Approval Reference Number _____

RBI Approval date _____

Details of Guardian (in case the account holder is minor)

Guardian's Name			
PAN no.		Relationship of Guardian with Minor	

Declaration : The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

	First / Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature	X	X	X

- (To be filled by Applicant in BLOCK LETTERS in English)
- I / We request you to open a demat account in my / our name as per following details

Name _____

PAN No.

PAN No.

PAN No. _____

Status					Sub-Status									
☐ Body Corporate ☐ Bank ☐ Trust ☐ Mutual Fund ☐ OCB ☐ FI ☐ HUF ☐ CM ☐ FI ☐ Clearing House ☐ Others/specify)_____					To be filled by the									
RBI Approval Ref. No.(If applicable)					RBI Approval Date									
Nationality		☐ Indian ☐ Others (specify)												

Name*

PAN

Name of Stock Exchange			
Name of CC / CH			
Clearing Member ID		CM - BP ID (to be filled by Participant)	
Trade Name		SEBI Registration No.	

☐ Any one Singly ☐ Jointly by ☐ As per resolution ☐ Others (please specify)

Sole / First Holder	1st Signatory/Karta of HUF	2nd Signatory	3rd Signatory
Name			
Signature	X	X	X
Other Holder	2nd Holder	3rd Holder	
Name			
Signature	X	X	

ADDITIONAL DETAILS FOR OPENING TRADING & DEMAT ACCOUNT

(Individual / Non-Individual)

A. BANK DETAILS:-

Bank Name & Branch Address	Account Number	Account Type: (Strike off which ever is not applicable)	MICR Code	IFSC code
		SB / Current / NRE / NRO		
		SB / Current / NRE / NRO		
		SB / Current / NRE / NRO / PIS-NRE / PIS-NRO		

B. DEPOSITORY ACCOUNT DETAILS:

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

C. TRADING PREFERENCE:

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

Segment / Exchange	Signature	MCX COMMODITIES
NSE & BSE CASH MARKET	☒	Date of Consent for Trading
NSE EQUITY DERIVATIVES	☒	
BSE CURRENCY DERIVATIVES	☒	☒
If you do not want to trade in any segments, please mention here _____		

D. PROOF OF FINANCIAL DETAILS (Attached any one of the below. Mandatory for trading in F&O /

Currency segment)

☐ ITR Acknowledgment
 ☐ Annual Accounts
 ☐ Net Worth Certificate
 ☐ Salary Slip
 ☐ Form 16
☐ Bank Account Statement (for last 6 months)
 ☐ Demat holding statement
 ☐ Self declaration
 along with relevant supporting
☐ Any other relevant documents substantiating ownership of assets

E. PROOF OF EXISTING DEMAT ACCOUNT:

☐ Client Master
 ☐ Latest Transaction / Holding Statement of Demat Account (please tick whichever is applicable)

F. DETAILS OF PAST REGULATORY ACTIONS:

Please provide details of any actions/proceedings initiated/pending/ taken by SEBI/ FMC / Stock Exchange/ Commodity Exchange any other authority against the applicant/constituent or its partners/promoters/whole time directors/authorized persons in charge of dealing in securities / Commodities during the last 3 years (Use annexure for additional information, if required)

	☐ Applicable ☐ NOT - Applicable
--	---

G. DEALINGS THROUGH AUTHORISED PERSONS (APs) OR OTHER STOCK BROKER(S) / APs

(A) If dealing through APS of MNM Stock Broking Pvt Ltd. Please provide the following details: (Aps to provide their prescribed details or affix their rubberstamp here)

AP Name	
Office Address	
AP Registration No.	
Phone No. / Mobile Number	

(B) If dealing through other Stock-brokers and/or their /APs, please provide the following details:

Stock-Broker's Name			
AP Name, if any			
Client Code		Exchange	
Details of disputes / dues pending from/to such Stock Broker/ AP :			

H. ADDITIONAL DETAILS:

Whether you wish to receive if yes, Pl. fill in Appendix-A (only for commodity Client)	☐ Electronic Contract Note (ECN) which may be sent at your email id as stated in KYC OR ☐ Physical Contract note Specify your Email id, if applicable _____		
Whether you wish to avail of the facility of Internet Trading	☐ Yes	☐ No	
If Yes, whether you wish to avail facility of Mobile Trading	☐ Yes	☐ No	
Number of years of Investment / Trading Experience	☐ No Prior Experience	☐ _____ Years	
Any other information:	☐ Years in other Investment Related Fields.		

I. GST DETAILS * Kindly provide GST Registration Certificate

Name		GST No.	
------	--	---------	--

J. CONSENT FOR RECEIVING SMS/EMAIL ALERTS FROM CONCERNED STOCK EXCHANGES / DEPOSITORY PARTICIPANT

I/We wish to avail the SMS/Email alert facility offered by respective Exchanges showing details of my daily transactions executed through MNM Stock Broking Pvt Ltd on my e-mail id/mobile no. provided in KYC form.

I/We hereby give my/our consent to receiving information from MNM Stock Broking Pvt Ltd on registered mobile number & e-mail address

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 am/we are may be held liable for it.
- I/We have do hereby declare that I have not been involved in any unlawful activities and I have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchange/Regulatory bodies, etc. I further declare that the above mentioned declaration/ statement is true and correct.
- I/We agree and undertake to intimate the Depository participate & Trading Member any change(s) in the details/particulars mentioned by me/us in the form. The rules, regulations and guidelines of depository and depository participants pertaining to an account which are in force now have been read by me/us and I/we have understood and agree to abide by and to be bound by the rules as are in force from time to time for such accounts.
- I/We have received that, and also confirm having read been explained and understood contents of Rights and obligations, Risk disclosure documents (RDD), Guidance note-Dos and Don'ts, Policy and Procedures, Most important terms and conditions (MITC), Tariff sheet and other mandatory as well voluntary documents. 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 and other policies has been displayed for information on MNM Stock Broking Pvt Ltd. designated website, if any.
- I/We confirm that all signatures placed on the account opening forms and all such other documents to MNM are done solely by me with complete knowledge of all such terms and clauses contained therein. I/We undersigned, would like to request MNM to accept the signed account opening forms and other documents, even in case there may be slight variations on a few pages/areas of the documents. I/We, the undersigned, further would like to represent and warrant that in case of any misrepresentation with respect to the signatures placed on the account opening forms or all such documents towards MNM by me. I will indemnify MNM and its employees / directors / promoters / agents / officials etc. all such actions.
- I/We aware about MNM may carryout proprietary trading activity in additional to client trades.



Place: _____

**Signature of Client /
(all) Authorised Signatory (ies)**

Date: ____/____/____

COMMON DETAILS FOR INDIVIDUAL & NON-INDIVIDUAL DEMAT A/C.
Standing Instructions

1. I/We authorise you to receive credits automatically into my/our account	☐ Yes ☐ No
2. Account to be operated through Power of Attorney (POA) / DDPI	☐ Yes ☐ No
3. SMS Alert Facility (Mandatory if you are giving POA/DDPI. Ensure that email Id is provided in KYC Application Form)	☐ Yes ☐ No
4. Account Statement/Reports Requirement	☐ As per SEBI Regulation ☐ Weekly ☐ Monthly ☐ Fortnightly
5. I/We would like to instruct the DP 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
6. Share my/our email ID with RTA / Depository / KRA etc.	☐ Yes ☐ No
7. Receive Contract note/Holding/Transaction Statement including CAS/Standard	☐ Electronic
7a documents forming part of Account Opening Kit /Other Documents (Ensure that email Id is provided in KYC Application Form)	☐ Electronic ☐ Physical
8. Annual Report/statement(s), AGM notices and other communication form issuers	☐ Electronic ☐ Physical ☐ Both
9. I/We wish to opt for BSDA account	☐ Yes ☐ No
CONSENT LETTER TO UPDATE MOBILE NUMBER AND EMAIL ID IN DEMAT AND TRADING ACCOUNTS ☐	
Pursuant to SEBI circular bearing Ref.CIR/MIRSD/15/2011 dated August 2,2011.Please note that the mobile number and E-mail id mentioned by me in the KYC/KRA/CKYC form belongs to	
Mobile No . ☐ My Self ☐ Spouse ☐ Son / Doughter ☐ Father / Mother ☐ Not Available E-mail Id . ☐ My Self ☐ Spouse ☐ Son / Doughter ☐ Father / Mother ☐ Not Available Name of Person (Mobile) _____ Name of Person (E-mail) _____	

Notes:

- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impressions and signatures 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 or a Notary Public or a Special Executive Magistrate.
- In case of additional signatures, separate annexure should be attached to application form.
- For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- Strike off whichever is not applicable.

In case of Individual account :

	First / Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Signature	X	X	X

In case of Non-Individual account :

Sole / First Holder	1st Signatory/Karta of HUF	2nd Signatory	3rd Signatory
Signature	X	X	X
Other Holder	2nd Holder	3rd Holder	
Signature	X	X	

PARTICULAR OF CHARGES	PLAN –A (YEARLY)	PLAN-B (LIFE TIME)	PLAN-C (CORPORATE)	PLAN-D (BSDA)
Annual Maintenance Charges	RS.500 /-	RS.1000/-	Rs.1500 /-	STOCK VALUE UP TO 400000-NIL, 400001-1000000-RS.100, 1000001 ABOVE -PLAN A
DDPI /POA CHARGES (@ A\c Opening Time)	RS.300 /-			
KRA CHARGES (@ A\c Opening Time)	RS.100 /-			
AUTO POA PAY-IN CHARGES	RS.25 /-			
TRANSACTION CHARGES (INTRA DEPO)	Rs.35 /- OR 0.05% of Value whichever is higher			
TRANSACTION CHARGES (OUT SIDE DEPO FOR MARKET & OFF MARKET)	Rs.50 /- OR 0.05% of Value whichever is higher			
DEMAT /REMAT REQUEST & REJECTION OR FAILED	RS.25 PER CERT+ POSTAL CHARGES 200.00			
MARGIN PLEDGED /UNPLEDGED	RS.20 /-			
PLEDGE CREATION / INVOCATION/CLOSURE/ UNPLEDGE	RS.50 /- OR 0.05% Of the Value whichever is higher.			
FREEZE / UNFREEZE	Rs. 50.00			
SLIP BOOK (REQUISITION REQUEST)	Rs. 50.00			
SLIP BOOK (LOST/MISSING REQUEST)	Rs. 100			
MODIFICATION CHARGES	Rs. 50.00			

(1)The above rates are subject to revision by MNM Stock Broking Pvt. Ltd with 30 days advance notice to the clients (2) The Scheme once selected shall be valid for a year and will be automatically renewed at the end of the year unless a written request to change the scheme in the prescribed format is received from the client (3) Our billing cycle is monthly. (4) Stamp Duty to be paid up front. (5) AMC has to be paid up front by the client (6) GST shall be levied as applicable. (7)Any services not quoted above will be charged separately.

I/We understood that in case of any non -compliance of the Byelaws ,Rules, and Regulations as laid down by SEBI/Depositories, and for any other matters that may be decided by you from time to time, you may be charged penalty on me.Such penalty amount shall be directly debit to my trading Account or otherwise. I/We have read, understood and explained the regulatory (SEBI) guidelines for opening a BSDA and undertake to company with the aforesaid guidelines from time to time. My/ our BSDA account will be converted to regular Demat account without further reference to me/us and will be levied charges as applicable to regular account as informed by the DP.

I /we have read and understood the schedule of charges prescribed above and agree to abide by the same.

I/We Like to join the Plan: ☐ A ☐ B ☐ C ☐ D

BO ID: 12081300

Name and Signature of Holder(s)*

1. _____ 2. _____ 3. _____

TARIFF SHEET FOR TRADING ACCOUNT

Equity	1 st Leg		2 nd Leg (same day)	
	%age	Min.	%age	Min.
Intraday Cash				
Delivery				
Equity Derivative	1 st Leg		2 nd Leg (same day)	
	%age	Min.	%age	Min.
Future				
Options (Per lot) (In Rs.)				
Currency Derivatives	1 st Leg		2 nd Leg (same day)	
	%age	Min.	%age	Min.
Future				
Options (Per lot) (In Rs.)				
Commodity Derivatives	1 st Leg		2 nd Leg (same day)	
	%age	Min.	%age	Min.
Trading				
Delivery				
Options (Per lot) (In Rs.)				

Minimum Brokerage & other Charges	
1	Rs. 15/- (Online Trade) and Rs. 25/- (Offline Trade) Per Contract for Capital market
2	Client cheque dishonor charges Rs. 100/- per instance or actual, Whichever is higher
3	Dispatch Charges for physical contract note for additional copy only (otherwise than for bounced email.) : Rs. 10 per contract notes.

Note :

1. GST, Transaction Charge, SEBI Fees, Stamp Duty, STT, CTT, Etc. will be levied as Prevailing Rate and are subject to change from time to time.
2. Brokerage will be charged within the limits prescribed by SEBI / Exchanges and in % age on transaction value basis shown as above.
3. MNM Stock Broking Pvt Ltd reserves the right to change any of the terms mentioned herein above from time to time by publishing/displaying the same on its website and/or by conveying same on registered email id of client.
4. The client authorizes MNM Stock Broking Pvt Ltd Stock Broker to recover demat charges payable to MNM in sale bill and/or by debit to his/her ledger account. DP by debit entry
5. All statutory and regulatory charges will be levied at actual.
6. I/We authorize MNM Stock Broking Pvt. Ltd stock broker to recover Demat charges payable to company. Dp by debit entry in sale bill and /or by debit to his/her ledger account.
7. Incase there is a debit balance in my account, you are authorized to sell at my point of time the shares/ securities held by me/held on my behalf, at your sole discretion. Any profit or loss made on such transactions will be debited to my account as it would have occurred on normal purchase/ sale made by me. I also agree to pay the balance amount. If any after deducting credit of sale of shares.



Signature of Client /
(all) Authorised Signatory (ies)

Client Name : _____

Client Code : _____

Nomination Form for Demat Account and Trading Account

☐ I / We hereby nominate the following person(s) who shall receive all the assets held in my/our account /folio in the event of my/our demise, as trustee and on behalf of my/our legal heir(S)*

UCC Code-		Nomination Details				Reg.No		
BO.Id Code-		Mandatory Details					Additional Details****	
	Name of Nominee	Share of Nominee (%)**	Relationship	Postal Address	Mobile Number & E-mail	Identity Number**	DOB Of Nominee	Guardian
Nominee 1								
Nominee 2								
Nominee 3								
Nominee 4								
Nominee 5								
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

*Joint Accounts

Event	Transmission of Account / Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners
Demise of all joint holders simultaneously –having nominee	Nominee
Demise of all joint holders simultaneously –not having nominee	Legal heir(s) of the youngest holder

** If % is not specified , then the assets shall be distributed equally amongst all the nominees (see table in ‘Transmission aspects’).

*** Provide only number: PAN or Driving License or Aadhar (last 4).copy of the document is not required.

*** To be furnished only in following conditions/ circumstances:

- Date of Birth (DOB): Please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

1) I/ We want the details of my / our nominee to be printed in the statement of holding, provide to me / us by the AMC/DP as follows :(Please tick, as appropriate)

☐ Name of Nominee(s) ☐ Nomination: Yes / No

2) I hereby authorize _____ (nominee number _____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He /She is authorized to encash my assets up to ____% of assets in the account /folio or Rs. _____. (strike off portions that are not relevant)

3) This nomination shall supersede any prior nomination made by me /us, if any.

Name (s) of holder(s)	Signature(s) of Holder	Witness Signature*
Sole / First Holder (Mr. /MS)		
Second Holder (Mr./Ms.)		
Third Holder (Mr. / MS.)		

*Signature of two witness (es) along with name and address are required, if the account holder affixes thumb impression instead of wet signature.

Rights, Entitlement and obligation of the investor and nominee

- If you are opening a new Demat account / MF folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the AMC / DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account/folio.
- In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account/folio, if case of your physical incapacitation. This mandate can be changed any time you choose.
- The signatories for this nomination form in joint folios / account, shall be the same as that of your joint MF folio /Demat account. i.e.
 - o 'Either or Survivor' Folios / Accounts - any one of the holder can sign
 - o 'Jointly' Folios / Accounts - both holders have to sign

Transmission Aspects

- AMCs / DPs shall transmit the folio / account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee (s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- Nominees (s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC / DP.
- In case of multiple nominees the assets shall be distributed pro-rata to the surviving nominees, as Illustrated below.

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nomiees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial Share	% of A's shares to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

First Holder	Second Holder	Third Holder

☐ DECLARATION FORM FOR OPTING OUT OF NOMINATION

Date:

To, MNM Stock Broking Private Limited

UCC:

Sole/First Holder Name :

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(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 trading / demat account, which may also include documents issued by court or other such competent authority, based on the value of assets held in the trading / demat account.

Place:

Date:

Signature Of 1st Holder	Signature Of 2nd Holder	Signature Of Third Holder

MNM Stock Broking Pvt Ltd

101-102, JP Complex, Opp C N Vidhyalay,
Nr Ambawadi Circle, Ambawadi, Ahmedabad-380 015.

CIN : U93030GJ2010PTC062882

DP-IN-DP 75-2015 BSE 6579, NSE 90080

SEBI REGISTRATION NO. : INZ000001933



Execution of 'Demat Debit and Pledge Instruction' (DDPI) for transfer of securities towards deliveries / settlement obligations and pledging / re-pledging of securities.

PLEASE FILL ALL THE DETAILS IN BLOCK LETTERS IN ENGLISH



BO ID

1	2	0	8	1	3	0	0												
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--

Client Code: _____

Date _____

Name of First Holder _____

Name of Second Holder _____

Name of Third Holder _____

Execution of 'Demat Debit and Pledge Instruction' (DDPI) for transfer of securities towards deliveries / settlement obligations and Pledging / re-pledging of securities as per SEBI circular SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated April 4, 2022 on Execution of Demat Debit and Pledge Instruction' (DDPI).

1. I/ We hereby execute Demat Debit and Pledge Instruction' (DDPI) in the favour of **MNM STOCK BROKING PVT.LTD** (SEBI REGISTRATION NO. INZ000001933) and agree to authorize them to access my/ our B O Account specified above for the limited purpose of settlement / margin obligations specified below:

Demat Debit and Pledge Instruction

Sr. No.	Purpose	Signature First Holder	Signature Second Holder	Signature Third Holder
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same Stock Broker (TM).			
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.			
3.	Mutual Fund transactions being executed on stock exchange order entry platforms.			
4.	Tendering shares in open offers through stock Exchange platforms.			

MNM Stock Broking Pvt Ltd

101-102, JP Complex, Opp C N Vidhyalay,
Nr Ambawadi Circle, Ambawadi, Ahmedabad-380 015.

CIN : U93030GJ2010PTC062882

DP-IN-DP 75-2015 BSE 6579, NSE 90080

SEBI REGISTRATION NO. : INZ000001933

2. List of Beneficial Owner Accounts that the Member is entitled to operate with DDPI are as follows:

Sr.No	Exchange	Account Type	DP Name – MNM Stock Broking Pvt. Ltd. Demat Account Number															
1	NSE	CDSL Pool	1	2	0	8	1	3	0	0	0	0	0	0	3	4	1	1
2	BSE	CDSL Pool	1	2	0	8	1	3	0	0	0	0	0	0	0	0	3	9
3	BSE	NSDL Pool	1	N	3	0	0	0	9	5	1	1	8	9	5	9	6	3
4	BSE	Early Pay-in	1	1	0	0	0	0	1	0	0	0	0	2	3	4	9	6
5	NSE	Early Pay-in	1	1	0	0	0	0	1	1	0	0	0	1	9	8	9	1
6	NSE & BSE	Margin Pledge	1	2	0	8	1	3	0	0	0	0	0	1	5	3	5	1
7	NSE & BSE	Client Unpaid Securities Pledgee Account (CUSPA)	1	2	0	8	1	3	0	0	0	0	0	2	5	0	2	6

*Any modification, deletion or addition in the above account shall be intimated to me/us separately.

3. The authorization provided by DDPI shall be applicable for all transactions specified herein from the date of applicability as specified by SEBI /Exchange.

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature			

If HUF, Co-Parceners Signature				
Sr.No.	Major Co-Parcener's Name	Relation with Karta	Gender	Signature

I / We accept (For, MNM Stock Broking Pvt. Ltd)

Authorised Signatory:

Note: Demat Debit and Pledge Instruction Document shall be effective from 1st September 2022 or from the date as prescribed in the circular

FATCA-CRS Declaration & Supplementary KYC Information

Self Declaration Form for Individuals [for DP & Trading]

Please seek appropriate advice from your professional tax professional on your tax residency and related FATCA & CRS guidance

DPID										1	2	0	8	1	3	0	0									TRADING CODE													
Name & PAN*																																							
Address Type (For KYC Add.)										☐ Residential ☐ Residential / Business ☐ Business ☐ Registered Office																													
Country of Citizenship																				Country of Birth																			
Gross Annual Income Details in INR										☐ Below 1 Lakh ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ 25 Lacs - 1 Cr ☐ > 1 Crore																													
Occupation Details [Please tick any one (V)]										☐ Business ☐ Professional ☐ Public Sector ☐ Private Sector ☐ Government ☐ Forex Dealer										☐ Agriculturist ☐ Housewife ☐ Student ☐ Retired ☐ Others (Please specify)_____																			
Net Worth & Date (OPTIONAL)										Rs.										Politically Exposed Person [PEP]										☐ Yes ☐ Related to PEP ☐ Not Applicable									
										DD/MM/YYYY																				If applicable (please specify)									

*If PAN is not available, please specify Folio No(s). US person ☐ Yes ☐ No

If 'Yes', please specify the details of all countries where you hold tax residency and its Tax Identification Number & type

SR No	Country of Tax Residency#	Tax Payer Identification Number / Functional Equivalent	Identification Type (TIN or other, please specify)
1			
2			

to include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USA

Declaration:

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. I hereby authorize you to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Exchanges/Depositories / Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of change and also undertake to provide any other additional information as may be required at your end or by domestic or overseas regulators/ tax authorities. I/We authorize you to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. I understand that you do not offer any tax advice on CRS/FATCA or its impact on me/us. I/We shall seek advice from Professional Tax Advisor for any tax questions.

Further I/We would like to state that in future if there is any change in my/our tax status (i.e. if I / We become tax resident of any other country other than India) then the same will be informed to MNM Stock Broking Pvt Ltd (MSBPL) and FATCA Declaration will be submitted to your immediately.

Self Certification: Are you US Person : ☐ Yes ☐ No

To be filled only if –

(a) Your country of Birth / Country of Tax Residency is other than India and TIN or Functional Equivalent is not available

(b) US Person is mentioned herein as Yes and TIN is not available:

I Confirm that I am neither a US Person nor a resident for Tax purpose in any country other than India, through one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following documents as proof of my citizenship and residency in India.

Document Proof submitted (Pls. tick document being submitted – Self Certified Copy)

☐ Passport ☐ Election Card ☐ PAN Card ☐ Driving License ☐ UIDAI/Aadhar Card Letter
☐ Govt. issued ID card ☐ NREGA Job Card ☐ Others (please Specify)

Document Identification No.

I / We agree that as may be required by domestic regulator/tax authorities, you may also be required to report, reportable details to CBDT or such other Income Tax Authorities as may be applicable in India or close or suspend my/our account. I/We agree to submit a new form within 30 days if any information including my tax status/certification on this form will change

Date: _____

Place:

Signature

MNM STOCK BROKING PVT. LTD.

ADDRESS: 101-102, 1ST FLOOR, J.P.COMPLEX, OPP.C N VIDHYALAYA, NR. AMBAWADI CIRCLE,
AMBAWADI, AHMEDABAD - 380015. PH. NO.: 079-26464676



FATCA-CRS Declaration & Supplementary KYC Information
Self Declaration Form for Entities / Non-Individuals [Demat & Trading]

Please seek appropriate advice from your professional tax professional on your tax residency and related FATCA & CRS guidance

Part – A			
PAN			
Name	Client ID : _____		
Address Type [for KYC address]	☐ Residential ☐ Business	☐ Residential / Business ☐ Registered Office	
Place of Incorporation		Country of Incorporation	
Gross Annual Income Details in INR	☐ < 1 Lakh ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ 25 Lacs-1 Cr ☐ > 1 Cr	Net Worth in INR in Lacs	_____
		Net Worth as of	dd/mm/yy
Is the entity involved in / providing any of the following services:	☐ Foreign Exchange / Money Changer Services ☐ Gaming / Gambling / Lottery Services [e.g. casinos, betting syndicates] ☐ Money Laundering / Pawning	Any other information [if applicable]	[Please specify]

Is your [Entity] Country of Tax Residency other than India – ☐ Yes ☐ No

If "Yes", please specify the details of all countries where you [Entity] hold tax residency and its Tax Identification Number & type hereunder:

S No	Country of Tax Residency	Tax Payer Identification Number/ Functional Equivalent / Company Identification Number or Global Entity Identification Number	Identification Type [TIN or other, please specify]
1			
2			

In case the Entity's Country of Incorporation / Tax Residence is US but Entity is not a Specified US person, mention Entity's exemption code here _____ (Refer Instructions P)

Entity Constitution Type (Pvt. Co./Public Co./LLP/ Partnership/HUF/AOP/BOI/ Proprietorship/Trust/Others)	
Entity Identification Type (tick as applicable)	☐ Company Identification Number ☐ Trust Registration Number ☐ TIN/ Tax deduction Account Number ☐ US GIIN ☐ Global Entity Identification Number (GEIN) ☐ Other
Entity Identification No.	
Entity Identification issuing country	
Country of Residence for tax purpose	

Entity Classification :																					
Part I – Financial Institution																					
A.	Whether Reporting Financial Institution (Please tick as applicable) : ☐ Yes ☐ No If Yes, Please tick any one of the following categories as applicable to you and provide your Global Intermediary Identification Number (GIIN) : ☐ Depository Instt. ☐ Custodial Instt. ☐ Investment Entity ☐ Specified Insurance Company GIIN : <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>																				
B.	Whether Non Reporting Financial Institution (Please tick as applicable) : ☐ Yes ☐ No If Yes, Mention category as applicable to you (<i>Refer Annexure B</i>) :																				
C.	Whether Sponsored Investment Entity which is not qualified intermediary to obtain GIIN but Sponsored by another entity that has registered as a Sponsoring Entity (Please tick as applicable): ☐ Yes ☐ No If Yes, Please provide the following details of Sponsoring Entity : Name of Sponsoring Entity : _____ GIIN of Sponsoring Entity : _____																				
D.	Whether Trustee Documented Trust and has not yet obtained GIIN (Please tick as applicable): ☐ Yes ☐ No If Yes, Please provide the following details of Trustee : Name of Trustee : _____ GIIN of Trustee : _____																				
E.	Whether Owner documented Financial Institution (Please tick as applicable) : ☐ Yes ☐ No If Yes, Provide the details of each controlling person in the table given below																				
F.	Whether Non Participating Financial Institution (Please tick as applicable) : ☐ Yes ☐ No																				
Part II – Non Financial Entity (NFE)																					
A.	Whether Active NFE (Please tick as applicable) : ☐ Yes ☐ No If Yes, Provide the applicable Category (<i>Refer Annexure C</i>): _____ In case, falling under category 2, Please provide the following details : a. If you are a listed Entity : Name of the Stock Exchange _____ b. If you are related of any listed Entity, Provide the following Details : Name of Related Entity : _____ Name of Stock Exchange _____																				
B.	Whether Passive NFE (Please tick as applicable) : ☐ Yes ☐ No If Yes, Provide the applicable Category (<i>Refer Annexure D</i>): _____. Also Provide the details of each controlling person in the table given below																				
C.	Whether Direct Reporting NFE (Please tick as applicable) : ☐ Yes ☐ No If Yes, Please provide GIIN : <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>																				

Controlling Person Declaration:

Name of Controlling person	Correspondence Address	Country of residence for tax purpose	TIN (if any)	TIN issuing country	Controlling person type

Details	For Controlling person 1	For Controlling person 2	For Controlling person 3	For Controlling person 4	For Controlling person 5
Document submitted for Identification : Passport/Election Card/PAN card/Govt. ID Card / Others					
Identification Number					

Declaration:

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may liable for it. I/We hereby authorize you to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me/us, including all changes, updates to such information as and when provided by me/us to any of the Exchanges/Depositories/Mutual Fund, its sponsor, Asset Mgmt. Co., trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries /or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. I/We authorize Fund/AMC/RTA to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. I /We understand that you do not offer any tax advice on CRS/FATCA or its impact on me/us. I/We shall seek advice from Professional Tax Advisor for any tax questions.

Signature with relevant seal:

X
Authorized Signatory

X
Authorized Signatory

X
Authorized Signatory

Date: _____ Place: _____

OPTION FORM FOR ISSUE OF DIS BOOKLET

VOLUNTARY

To,

MNM Stock Broking Pvt Ltd

101-102, JP Complex, Opp C N Vidhyalay,
Nr Ambawadi Circle, Ambawadi, Ahmedabad-380 015.

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 my/our CDSL account through 1/ we have issued a Power of Attorney (POA) / DDPI in favour of MNM Stocks Broking Pvt. Ltd. for executing delivery instruction for setting stock exchange trade (settlement related transaction) effected through MNM Stock Broking Pvt Ltd.

Option 2: ☐

I/We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / DDPI in favour of MNM Stock Broking Pvt Ltd. for executing delivery instructions for setting stock exchange trades (settlement related transactions) effected through MNM Stock Broking Pvt Ltd. 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 Holder	Second Holder	Third Holder
Name			
Signature	☒	☒	☒

UCC Code : _____

Client/BO Id : _____

Date : D D M M Y Y T Y

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and 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/instructions in 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 for 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.
13. The Stock Broker 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 refuses to execute POA or DDPI.

Statement of account

14. 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.
15. 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.
16. 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 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.
17. 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.

Manner of Closure of Demat account

18. 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.

19. 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.
20. 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.
21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&B 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

22. 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

23. 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.
24. 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

25. 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.
26. 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

27. 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/instructions issued there under or Rules and Regulations of SEBI.
28. 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.
29. 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.
30. 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.
31. 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.
32. 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.

"I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

X _____ 1st Holder

X _____ 2nd Holder

X _____ 3rd Holder

MOST IMPORTANT TERMS AND CONDITIONS (MITC)

To,

MNM Stock Broking Pvt Ltd

101-102, JP Complex, Opp C N Vidhyalay,

Nr Ambawadi Circle, Ambawadi, Ahmedabad-380 015.

Dear Sir/Madam,

Sub : Acknowledgment of Most Important Terms & Conditions (MITC)

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.
11. The Client acknowledges that they are fully aware of and understand the risks associated with online trading services. For login of any online application(s) provided by broker, client must set strong password and do not share any login credential / 2FA details to anyone. The Client acknowledges that they shall be responsible for maintaining their Client/Login Id and password in a secure and confidential manner.

I/we acknowledge the receipt of copy of the document, "Most Important Terms and Conditions (MITC)".

X

Client Name : _____

UCC Code : _____

POLICIES & PROCEDURES (EQUITY)

This document contains policies and procedures defined/ devised and followed by MNM Stock Broking Pvt Ltd. ('MNM or 'Broker') which it applies or adopts while providing services as a stock broker on National Stock Exchange of India Ltd. ('NSE'), Bombay Stock Exchange Ltd. ('BSE') (collectively herein after referred to as 'the Exchanges') to its clients. The purpose of the document is to communicate these policies and procedures to clients of MNM.

The policies and procedures stated herein below are subject to change from time to time at the sole discretion of MNM, depending on market conditions, requirements prescribed by Exchanges, Regulators or any other Government Authority, its risk management framework etc.

Refusal of orders for penny/illiquid stock

Generally, the broker refuses to enter any order of clients for penny stocks. The client is required to adhere to exchange / members' guidelines and due diligence while trading in such scrips. Even trading in such scrip is very risky. As such, stock broker may from time to time/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 the permitted list of stock broker/ exchange(s)/SEBI or illiquid scrips or GSM/ASM scrip. Depending on market condition and risk management policy of the company, the stock broker reserves the right to refuse to provide limit in penny Stocks and losses if any on account on such refusal shall be borne by the client only. We the broker, do hereby warn the client not to deal in any penny stock. However, Broker at its own discretion, may allow or disallow the clients (on case to case basis) to deal in penny stocks, subject to rules, regulations, articles, byelaws, circulars, directives and guidelines of SEBI and Exchanges as well as considering the prevalent market and other circumstances, at related point of time. The exposure limit in such scrips shall vary from client to client subject to Risk Management (RMS) Policy of Broker and prevalent market condition from time to time without prior notice.

Client's exposure/Limit

Exposure to the client will be provided based on the collateral available as margin in the client's trading account maintained with MNM Collaterals can be in form of securities (under margin pledge) (non-cash & cash component collateral) and available ledger balance (cash collateral). The securities markets are usually very volatile and different clients have different risk profiles. Volatility amongst different scrip and different derivatives contracts are different, Business Rules, Bye laws and Regulations of the Exchanges, SEBI require Brokers to collect upfront margin from its clients.

The trading limit setting policies enumerated below are to be taken as basis for understanding policies implemented by MNM and the same may not be rigidly followed and may be changed

from time to time considering prevailing rules and regulations. The averments contained in these statements are not promises made by MNM to its clients and they do not confer any rights to clients to demand that their trading limits at all times will be set according to these policies.

The exposure can be a certain multiple of the available margin. Such multiplier will be as decided by MNM from time to time (as per RMS policy of MNM) and may vary from client to client. In F&O client needs to provide SPAN and Exposure as upfront margin.

The choice of the securities to be considered as margin shall be determined by MNM at its sole discretion from time to time and the client shall abide by the same.

While granting the exposure limit, margin in the form of securities will be valued as per the latest available closing price on the exchanges after applying appropriate haircut (VAR+ELM and/or additional margin) as may be decided by MNM at its sole discretion.

MNM may from time to time depending on market conditions, profile and history of the client, type and nature of scrip, etc., at its sole discretion charge/change the rate of haircut applicable on the securities given as margin pledge, multiplier for granting exposure in Cash/F&O segments and take such steps as MNM may deem appropriate.

The Client will have to abide by the exposure limit set by MNM.

Applicable Brokerage rate

MNM discloses that it shall charge a brokerage at the rate being agreed by the client with broker (including its branches and sub brokers) as may be prescribed in the tariff sheet. However, MNM shall adhere to the maximum permissible limit (presently not to exceed 2.5%) as may be prescribed by SEBI/Exchanges from time to time. It is hereby further clarified that brokerage on options contracts shall not exceed 2.5% of the premium amount or Rs. 100/- (per lot) whichever is higher.

MNM charges minimum brokerage of Rs. 15/- (online trade) and Rs. 25/- (offline trade) per contract note issued in case of brokerage chargeable on cash market transactions. This minimum limit may be revised upwards depending on regulatory dispensations and cost of environment. MNM may waive off minimum contract charges for certain clients at its own discretion.

The brokerage rate may be varied in future as agreed between the client and MNM either in writing or orally from time to time, in case of oral agreement, if the brokerage is charged at such revised rate in contract note subsequent to revision and the client does not raise any dispute on such brokerage within the time period stipulated on the contract note then the same will be considered as consented by the client.

Imposition of Penalty/Late Payment Charges

The Exchange/ Clearing Corporation / SEBI levies penalties on the broker for irregularities observed by them during the course of business. MNM shall recover such imposed penalties/levies, if any, by the Exchange/Regulatory, from such clients on account of whose dealings such penalties/levies have been imposed. Few of the examples of violations for which penalties may be levied are as under:

- a. Auction of securities pursuant to short deliveries by the client.
- b. Non adherence to client level exposure limits in cash, F&O and currency segments.
- c. Short margin reporting in any segment as may be stipulated by the respective Exchange.
- d. Any other reason which may be specified by the Exchanges/ Clearing Corporation/SEBI from time to time.

Such recovery would be by way of debit in the ledger of the client and amounts would be adjusted in client ledger account.

Further, if client does not make payment against its settlement obligation or margin obligation with the stipulated pay in time, the late/delay payment charges at the rate of 18% per annum shall be charged on weekly basis. Such late payment charge should not result in frequent late payment by the client and must not be termed by the client as funding provided by the broker.

Further, Clients are required to pay interest charges on the shortfall of the Cash-collaterals required to be maintained and uploaded to the clearing corporation. There will be interest charges of 18.00% p.a (0.025% per day) levied on cash-collateral shortage on respective segment based on the discretion of our risk management department,

Liquidation of Client's Securities/Close Open Position

MNM requests the prospective clients to refer to RIGHTS & OBLIGATION and RISK DISCLOSURE DOCUMENT wherein Broker's rights to sell securities purchased by the client and to close out open positions of the client are adequately defined.

The constituent is supposed to make its pay in obligations on time for the funds and/or securities for all the Segment of the exchange. The client has to maintain upfront margin in cash as well as in derivatives segment of the exchange as per the exchange's requirement. In case if any shortfall is found in margin, the open positions of the constituent shall be squared off to the extent of shortfall without any intimation to the clients for the same as per our RMS policy.

As per the SEBI circular no- CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated 20.06.2019 on Handling of Client's Securities MNM Stock Broking Pvt Ltd. shall transfer the securities purchased by client to client's demat account within 1 working day of the pay-out in case of clear payment is received from the client.

Further, as stated in SEBI circular SEBI/HO/MIRSD/MIRSD- PoD- 1/P/CIR/2022/153 dated 11.11.2022 on Handling of Client's Securities by trading/clearing member. If any client purchase securities, MNM shall transfer the securities into the client's demat account from the pool account of

MNM within 1 working day of the pay-out. In case of the client fulfills/paid its full funds obligation the securities are available as a free balance in to the respective client's demat account. If client fails to make a payment in full then

MNM shall transfer the such unpaid securities to the respective client's demat account followed by creation of an auto-pledge (without any specific instruction/request from the client) with the flag/reason "auto pledge for unpaid securities", in favour of a MNM in separate demat account titled "Client unpaid securities pledgee account (CUSPA)".

If the client fulfills its funds obligation within 5 trading days after the pay-out, MNM shall release the pledge securities so the unpaid pledge securities are available to the client as free balance. In case of the Non-payment of dues by client in specified time period, MNM shall dispose-off/liquidate such unpaid securities in the market within 5 trading days after the pay-out without any notice to the extent of debit balance of the client and/or as per prevailing Risk management policy of MNM Further, MNM shall invoke the pledge against the delivery obligation of the client and such securities shall be blocked for early pay-in in the client's demat account. However as a good practice we may send SMS to client for pending dues and reminder for making payment before disposing/liquidating the securities of the client. If any excess securities balance in unpaid pledge balance shall be released from pledge in the respective client's demat account.

In the event of client not meeting margin or Pay In obligations as applicable. MNM may square off its outstanding positions and sell off collaterals, to the extent required, without prior written or oral notice or intimation to the client, to ensure that the open positions of the client is backed by sufficient margin. In case of intraday trade client's open position shall be squared off automatically by the system on 3:15 PM onwards in both cash and F&O, CUR MCX. Further, client's open position shall be squared off upon the MTM loss on open position reaching to 70% or at discretion of MNM depending on market condition on client's risk profile of the available collateral/margin value. (Intraday square off timings can change based on the discretion of our risk management department) In Derivative Segment margin requirement increased in first snapshot of margin provided by clearing corporation beginning of the day client required to provide sufficient margin for fulfil upfront margin requirement in derivative segment. In case of client not provide margin, MNM shall liquidate client's position as per margin shortfall observed by risk management department.

The broker reserves the right not to increase the position of the constituent as per his risk parameters. In case of any order from regulatory authorities, the client's open positions shall be liquidated.

Restrictions/Prohibition to take further position or closing existing position :

Under any of circumstances, such as client's failure to meet Pay-In or margin obligations or clearance of outstanding/debit balance with broker before permissible time limit or beyond such period as may be allowed by broker, the client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligation, outstanding etc. Further, it would be the duty of the client to monitor his/her/its position with the Broker from time to time. In case of any delay or failure in meeting any obligation, margin requirement etc. from client side, broker might close the existing position or open position WITHOUT ANY FURTHER INTIMATION to the client, Such Circumstance include (but not limited to) :

- a. Failure to meet Pay-In obligation on Pay-In Day.
- b. Delay in meeting the Pay-In or margin requirement.
- c. Delay or failure in clearance or outstanding or dues to the broker,
- d. Returning or frequent returning of cheques of the client,
- e. Unnecessary/Unwarranted dispute from client without any substantial cause/reason, settled without Involvement of Exchange and/or SEBI.
- f. As per prevalent RMS policy of the Broker.
- g. Any direction from SEBI / Exchange or such other authorities.
- h. Under such other circumstances as the Broker might think just and proper on case to case basis.

Shortages and Delivery Obligation arising out of Internal netting of trades.

Stock Exchanges compute delivery obligations of the brokers after netting off all the positions of all clients for each scrip. If on net basis, the total position of the broker for scrip is sale, he is required to deliver such net quantity of shares of that scrip to Stock Exchange before pay in. If on net basis, the total position of the broker for scrip is purchase, Stock Exchange delivers such net quantity of shares of that scrip to the broker on successful completion of payin, at the time of payout. This may result in sale position of one client being netted off against purchase position of another client in the same scrip requiring settlement of delivery obligations within the office of the broker. In such event, if the selling client fails to honor his settlement obligation, the buyer client may end up not receiving securities against his purchase or he may receive lesser no. of shares than his purchase quantity of shares. Since the obligation against Exchange is nonexistent, the usual auction mechanism established by the Stock Exchange may not be available in such scenario. Stock brokers are required to frame procedures for dealing with such internal shortage which are fair and transparent.

MNM has framed and implemented following policy for settling of the transaction, which remains unsettled due to Internal Shortages.

The transaction, which remains unsettled due to Internal Shortages of Securities, shall be closed out and settled amongst the buyer and seller asunder:

- a. The Short delivering (seller) client is debited by an amount equivalent to higher of 3% above the official closing price on the auction day OR the highest weighted Average price from trading day till the auction day OR purchase price of the Buyer and the amount shall be credited to the short purchasing (Buyer) client. However, the amount of penalty to be debited from defaulting client (seller) and to be credited to the buyer will be subject to the discretion of the management considering the value, volume and or liquidity in the scrip on a case to case basis. It may differ from the criteria mentioned above.
- b. Notwithstanding anything contained in Clause No, a as above, in case the shortages in obligations arising out of internal netting of trades of Physical Settlement in Equity Derivative segments, then the delivering client is debited by amount equivalent to higher of
 - 1) 3% above the official closing price on the auction day in case the scrip is a part of Nifty Index otherwise 5% OR
 - 2) The highest Weighted Average price + 3% from the first trading day of the settlement till the auction day the amount shall be credited to the short purchasing client.

However, the amount of penalty to be debited from defaulting client (seller) and to be credited to the buyer will be subject to the discretion of the management considering the value, volume and or liquidity in the scrip on a case to case basis. It may differ from the criteria mentioned above.

Suspending/Closing/Deregistering the trading account

Without prejudice to MNM's rights and remedies available under the Agreement, MNM may forthwith, at its sole and absolute discretion, de-register/suspend / freeze the client with/without prior notice/intimation in the following circumstances:

- a. If the client makes request for deregistration in writing.
- b. If MNM is satisfied and believes that the client is not interested in executing transactions through MNM.
- c. If the client is not maintaining his account as per the requirements and MNM wishes to sever the Relationship with the client after giving such due notice as stipulated in Rights and Obligation Document.
- d. Where the client indulges in any irregular trading activities like synchronized trading, price manipulation, trading in illiquid securities/options/contracts self- trades, trading in securities at prices significantly away from market prices, etc.

- e. Any enquiry/investigation initiated by the Exchanges / regulators against the client;
- f. Any regulatory action taken/initiated against the client by the Exchange/regulators/Govt. or local authorities/ Judicial or any of Govt. department including but not limited to debarring the client from accessing the capital market;
- g. Where name of the client apparently resembles with the name appearing in the list of debarred entities published by SEBI/ Exchanges (where no information other than name is available);
- h. Name of the client appears in database/websites of CIBIL, Watch Out Investors, World Check, etc.;
- i. The client having suspicious back ground or link with suspicious organization;
- j. Where the client is non-traceable, has pending disputes with MNM possibility of a default by the client;
- k. Any other circumstances leading to a breach of confidence in the client for reasons like return of undelivered couriers citing reason of 'No such person/ Addressee left/ Refusal to accept mails, etc., continuous cheque bouncing, or not furnishing the Financial and other details as may be called for by MNM from time to time, etc.
- l. Upon receipt of written information about the death of the client;
- m. Information on demise received from any of sources specified in common SOP for reporting of demise of an investor/client issued by Mils as per SEBI circular no. SEBI/HO/OIAE/OIAE_IA-1/P/CIR/2023/0000000163,
- n. Such other circumstances which in the sole opinion of MNM warrants de-registering the client.

In all such cases, MNM shall have the right to close out the existing open positions/contracts, sell/liquidate the margin (in any form) to recover its dues, if any, before der-registering/suspending the client.

Policy for Inactive/Dormant Clients

In case of any account(s), the term dormant/inactive account refers to such account wherein no transaction/trade(s) have been carried out since last 12 continuous months. The funds/ securities of such clients must be returned and the account must be having zero balance. The said clients are not permitted to carry out any fresh transactions/trades in such account.

The process of identifying the dormant/inactive account based on the above mentioned criteria shall be run daily/ weekly/monthly basis post the end of the day activities depending on the criteria set by the management from time to time. Account identified as dormant/inactive shall be flagged as "Inactive/Dormant" in the trading software, back-office system and respective exchange's UCC data base and also such account restricted for further trading/transaction till the clients is not re-active their account as per process mentioned below.

Process for reactivation of Inactive/Dormant account

Client can get the account reactivated after provided fresh documents, sufficient due diligence and also provided the updated information through the any process mentioned below. In a part of due diligence we have carried out IPV at the time of client is coming for reactivation.

IPV should be undertaken only when the client seeks reactivation after a period of 12 months (1 year) of being flagged as inactive/dormant i.e. after 2 years from their last trading date.

The Client can follow any of the below processes for reactivation of account:

- a. Client can submit the duly signed account re-activation form along with necessary documents at any of branch/main office.
- b. By placing request of re-activation of account through our online account re-activation system/facility.

GENERAL:

MNM shall have the right at its sole and absolute discretion to amend/change/revise any of the above said policies and procedure at time in future and the same shall be binding on the client forthwith. Latest Policy and Procedures shall be available on website of MNM (www.mnmshares.com) Client should refer to the same from time to time for any updation of Policy and Procedure of the stock broker.

Any action taken by MNM in accordance with the policies and procedures mentioned herein above cannot be challenged by the client, and MNM shall not be liable to the client for any loss or damage (actual/notional) which may be caused to the client as a result.

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Signature of Client/Authorised Signatory (ies)

Internet & wireless technology based trading facility provided by stock broker to the client

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

To,

MNM Stock Broking Pvt Ltd

101-102, JP Complex, Opp C N Vidhyalay,

Nr Ambawadi Circle, Ambawadi, Ahmedabad-380 015.

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 website 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 is 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 a 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 Stockbroker 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 stockbroker / Exchange(s).

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.
- I/We are fully aware of and understand the risks associated with online trading services. For login of any online application(s) provided by broker, I/we have must set strong password and do not share any login credential/2FA details to anyone. I/we confirm that, I/we shall be responsible for maintaining their Client/Login Id and password in a secure and confidential manner.

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UCC Code : _____

Client/BO Id : _____

Date : D D M M Y Y T Y

Running Account Authorization

VOLUNTARY

To,
MNM Stock Broking Pvt Ltd
 101-102, JP Complex, Opp C N Vidhyalay,
 Nr Ambawadi Circle, Ambawadi, Ahmedabad-380 015.

Dear Sir/Madam,

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Commodity segment and/or Interest Rate future Segment and/or Debt Segment & in order to facilitate ease of operations and upfront requirement of margin for trade in my account.

I/We authorize you as under :

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
2. The payout of funds may be retained by you and no interest shall be payable by you on such funds so retained. I/We authorize you to appropriate such retained funds meet my/our entire funds payinobligations and marginliability or for settlement across all exchange/segment(s). Only on my/our request(s), you shall make payment out of my/our credit balance(s) to the extent of unencumbered credit balance(s).
3. I/We request you to settle my fund account as (choose one option)
☐ **Monthly (30 days)** or ☐ **Quarterly (90 days)** or such other period as allowed by SEBI/Stock exchange(s) time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipts.
4. In case I/We have outstanding obligation on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligation on open positions or margin obligations for ensuring 5 days of margin requirement, and also retain the funds as calculated in the manner specified by the SEBI/Exchange (s).
5. I/We undertake to inform you in writing any discrepancy that I/we may find in statement of accounts or settlement forwarded to me/us pursuant to such settlement(s), within 7 days from the date of receipt of such statements.
6. I/We understand that, this running account authorization would continue until it is revoked by me and I/we have right to revoke this authorization at any time by sending a writing request to you.

X

UCC Code : _____

Client/BO Id : _____

Date : D D M M Y Y T Y

UNDERTAKING/AUTHORISATION - LETTER OF OPERATION OF ACCOUNT

To,

MNM Stock Broking Pvt Ltd

101-102, JP Complex, Opp C N Vidhyalay,

Nr Ambawadi Circle, Ambawadi, Ahmedabad-380 015.

With respect to member-constituent relationship and mandatory and voluntary (optional) documents executed between us, for the smooth operations of the account, I/we hereby authorized to MNM to do the following;

1. Order Placement I/we shall be given verbal instructions for placing/modifying/cancelling my/our orders for trade executions, Payout instructions etc. over telephone or via emailing or in person and the same shall be binding to me/us. I/we do not require order confirmation / modification / cancellation slip or trade confirmation slip generated by the trading system. I hereby request you to kindly accept my verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I indemnify MNM and its employees against all trade related losses, damages, action which you may suffer or face, as a consequence carrying out my instructions for orders placed verbally.
2. In case of any documents / ledger / transaction reports/account position etc. are required by me/us, I/we shall obtain the same from your offices or get it collected through my/our representative. I/we am/are aware that you have installed systems and software which enable me/us to access my/our account details/transaction reports and all matters pertaining to my/our account through internet/online in a secured manner using our user name and password as well 2FA.
3. I/we understand that errors might be committed by dealers/computer operators resulting in punching of wrong client codes or price or quantity etc. while making order entry. Exchange rules provide for modification for such wrongly entered client code to correct client code. I/we undertake to sign such papers/documents as may be required for the purpose of authentication for client code modification as and when required.
I understand and agree that I shall not hold MNM responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by MNM
4. My/our funds lying with you may be used for the purpose of depositing the same with the exchange for the purpose of margin or placing FDR with banks which may be submitted to the exchange/clearing corporation for margin.

5. I/we authorised you to use my/our securities / placed by me/us with you to further deposit / pledge the same with exchange / clearing corporation / clearing house for my / own margin requirements.
6. I/we understand and agree that you are authorised to charge delayed payment charges at 18% per annum on such debit balance due in my account. For derivative positions, it is requirement by the exchange/clearing corporation that 50% of margins be fulfilled in the form of cash or cash equivalent. I acknowledge that failure to maintain sufficient cash margin will result in a delayed payment charges/interest charges at 9% per annum.
7. I/we have trading as well Demat account with you for the convenience of payment of all the charges pertaining to my/our Demat account, I/we hereby authorised to debit and recover charges for depository services from my/our bills/Ledger of Trading account.
8. I/we undertake to execute my/our own sale purchase transactions in securities through you and shall not act as unregistered intermediary. I/we shall intimate to you if any changes in my/our address, bank, contact details and demat account details as soon as possible.
9. I/we opt to receive contract notes, margin statement, ledger and other reports/statements, depository transactions and holding statements, quarterly settlement statement and other communications on my email id which is provided in client registration form, authenticated by means of digital signature obtained from certified authority designated under the Information Technology Act, 2000.
10. I/we hereby undertake and confirm that I/we shall deliver shares for pay in to the company's designated demat account, for effecting delivery to the Exchange/clearing corporation against the my/our sale position. In case of fails to transfer the shares on time to MNM. MNM shall not be responsible for any loss / damages arising out of such delayed transfers / delivery. Further, I/we undertake and agree that, shares will not be transfer/deliver to any of company's representative/employee/Authorized person account.
11. I/we agree that all fine/penalties/charges levied upon you by NSE/BSE/MCX or any other regulatory authority for my/our transaction/deals/action/mistakes are recoverable by you from my/our account.
12. I/we acknowledge that you shall not be liable to provide me/us with any legal, tax, investment or accounting advice or advice regarding the suitability or

profitability of a security or investment. I/we also acknowledge that your employees are not authorized to give any such advice and that I/we shall not solicit or rely upon any such advice from you or any of your employees. I/we agree that in the event of you or any employees or officials providing any information, recommendation or advice to me/us, I/we may act upon the same at the sole risk and my/our cost and you shall not be liable or responsible with respect to my/our investment decisions and transactions. Your officials, directors, KMPs, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of mine/ours.

13. In the event I/we am/are found to have indulged in any manipulative, fraudulent and/or unfair trade practices or to have committed a breach of the capable laws, regulations, MNM, bylaws, by my/our act or omission, whether directly or indirectly, I/we shall be solely liable for the consequences thereof, including but not limited to financial losses and the penalties, restrictions or the other action imposed or taken by respective authority.
14. Any communication sent by you to me/us shall be deemed to have been properly delivered or served, even if such communication is returned to you as unclaimed/refused/undelivered, if the same is sent to the ordinary place of residence and/or last known my/our address details available with you.
15. I/we agree to inform / update you any change in any or all the details provided to you on time to time.
16. I/we shall not hold member responsible for any losses incurred on account of failure of system/risk management system/Network/loss of connectivity from dealing office/place to member or from member to the Exchange. I/we understand/knowabout that, Investor Risk Reduction Access platform, also known as IRRA, is a platform jointly developed by stock exchanges as per the guidelines issued by SEBI vide circular no. SEBI/HO/MIRSD/MIRSD-POD-1/P/CIR/2022/177 dated December 30, 2022, in case of any technical glitches in member's trading platform.
17. I/we hereby agree that Stock broker or the Exchange(s) shall not be liable for non-execution of any order caused due to suspension, interruption, non-availability or malfunction of the online as well as offline trading services or the exchange system or services for any reasons whatsoever.
18. I/we have noted that you are doing Proprietary Trading on your own account.
19. There are no criminal and/or civil cases pending against me/us in any court of law or any regulatory authority. I/we have never been convicted of any offenses by the police and/or court of law.

20. There are no actions taken against me by SEBI, Exchange(s) and/or any other regulatory authorities. There are no ceases pending against me/us. I agree to inform to MNM, in writing of any regulatory action taken by SEBI, RBI or any Exchange or regulatory / Statutory authority on me in future. In case of fail to inform the same and know of such action, MNM on its own comes to MNM has the rights to suspend / freeze / close my account and refuse to deal with me. Also, MNM can at its sole discretion, close all the open positions and liquidate collaterals / securities to the extent of trade related debit balance, without any notice to me.

21. I/We further declare and confirm that the share / securities provided/being provided to you are only for the purpose of availing exposure / limit in my/our account from the respective exchange / clearing corporation only.
22. I/we hereby gave my consent to validate my Aadhaar number with UIDAI. I/we hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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. I/We hereby consent to receiving information from KRA through SMS/Email on the above registered number/Email address. I am/we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing/updation my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA, CKYC agency, Mutual funds and other Intermediaries/ MIs with whom I/we or MNM have a business relationship for KYC purposes only.
23. In case where the payment made by us toward margin / dues it through cheque in favour of Stock broker, only upon the realization of funds the said cheque or at the discretion of the stock broker, I/we shall be allowed fresh limits. Further I/we agree that funds deposit and payment make only based on as per broker's policy and it's updated from time to time by broker.
24. I/we aware that MNM shall accept funds only from my/our registered bank account with MNM . In case of I/we deposited funds from my/our un-registered bank account to MNM. MNM shall not be provide any limit/exposure to me/us and MNM shall not be responsible for any loss or damage arising out of such case. Further I/we undertake that if any third party payment entry credit into my/our ledger, MNM shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same.

25. I/we shall update my/our financial information on yearly basis and also shall provide proof of income (mandatory in case of derivative segment and/or based on my turnover activity) i.e. income tax return, bank statement, annual return, salary slip etc. as may be required by you. I/we aware that in case of non-submission of above details my/our trading may be restricted by the stock broker without any notice.

26. I/we aware that as per SEBI circular no CIR/HO/ MIRSD /CIR/P/2017/108 dated 26.09.2017, all the conversation between me / us / my /our representatives and MNM by way of phone / mobile calls will be recorded by MNM and I/we hereby specifically permit the MNM to do so. Such recording may be relied upon by MNM as valid evidence as and when required and same shall be produce to the relevant authority/ies.

27. As per the SEBI circular no CIR/HO/MIRSD/DOP/CIR /P/2019/75 dated 20.06.2019 on Handling of Client's Securities MNM Stock Broking Pvt Ltd shall transfer the securities purchased by client to client's demat account within 1 working day of the pay-out in case of clear payment is received from the client.

Further, as stated in SEBI circular SEBI/HO/MIRSD/ MIRSD-POD-1/P/CIR/2022/153 dated 11.11.2022 on Handling of Client's Securities by trading/clearing member. If any client purchase securities, MNM shall transfer the securities into the client's demat account from the pool account of MNM within 1 working day of the pay-out. In case of the client fulfills/ paid its full funds obligation the securities are available as a free balance into the respective client's demat account. If client fails to make a payment in full then MNM shall transfer the such unpaid securities to the respective client's demat account followed by creation of an auto-pledge (without any specific instruction/request from the client) with the flag/reason "auto pledge for unpaid securities", in favour of a MNM in separate demat account titled "Client unpaid securities pledge account (CUSPA)".

If the client fulfills its funds obligation within 5 trading days after the pay-out, MNM shall release the pledge securities so the unpaid pledge securities are available to the client as free balance. In case of the Non-payment of dues by client in specified time period, MNM shall dispose-off/liquidate such unpaid securities in the market within 5 trading days. after the

pay-out without any notice to the extent of debit balance of the client and/or as per prevailing Risk management policy of MNM . Further, MNM shall invoke the pledge against the delivery obligation of the client and such securities shall be blocked for early pay-in in the clients demat account. However as a good practice we may send SMS to client for pending dues and reminder for making payment before disposing/liquidating the securities of the client. If any excess securities balance in unpaid pledge balance shall be released from pledge in the respective client's demat account.

28. I/we declare that I/we have read and understood the contents and provisions of the PMLA Act, 2002, which were also explained to me by MNM team. I/we further declare that I/we shall adhere to all the provisions of PMLA Act, 2002. I/we further undertake and confirm that, I do not have any links with any know unlawful persons/institutions/entities and I am genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity involve any black or hawla money in any manner.

29. I/we aware about all the reports and statements are generated by MNM based on the trades and information available with MNM , at the time of report/statement generation. MNM done not make any warranty, express or implied, or assume any legal/consequential liability or responsibility for the authenticity, and completeness of the data presented in the report/statement. I/we confirm that I/we are double check all reports before us any of my/our financial, income tax return filing and/or any other purpose.

30. I/We confirm that all signatures placed on the account opening forms and all such other documents to MNM are done solely by me with complete knowledge of all such terms and clauses contained therein. I/We undersigned, would like to request MNM to accept the signed account opening forms and other documents, even in case there may be slight variations on a few pages/areas of the documents. I/We, the undersigned, further would like to represent and warrant that in case of any misrepresentation with respect to the signatures placed on the account opening forms or all such documents towards MNM by me. I will indemnify MNM and its employees / directors / promoters / agents / officials etc. all such actions.

	First Holder	Second Holder	Third Holder
Name			
Signature	X	X	X

**Authorization Letter for Electronic Communication /
Electronic Contract Note (ECN)**

VOLUNTARY

To,

MNM Stock Broking Pvt Ltd

101-102, JP Complex, Opp C N Vidhyalay,
Nr Ambawadi Circle, Ambawadi, Ahmedabad-380 015.

Dear Sir/Madam,

I _____ a client with member
M/s MNM Stock Broking Pvt Ltd of MCX, NSE, BSE, CDSL undertake as follows :

I/We request you to send me/us Electronic Contract note/Bills, Account statement, Annual reports, transaction and holding statements of my Demat/trading account and/or all other documents at following email address.

Email Id:

*(the email id must be written in own handwriting of the client)

I/ We agree not to hold you responsible for late/non receipt of Holding & Transaction statement, Bills and Ledger and any other documents send in electronic form, for any reason including not limited to failure of email servers, loss of connectivity, email in transit, my/our email storage is full etc. I/We agree that the log reports of your dispatching software shall be conclusive proof of dispatch of Holding & Transaction statement, Bills and Ledger and any other electronic communication to me/us.

I hereby accept to the terms and conditions as mentioned herein below:

- The digital contract notes will be issued in digital form in compliance with the guidelines issued by SEBI/ Exchange from time to time
- I am aware that the member has to provide electronic contract note for my convenience on my request only.
- Digital contract notes are also available in your web back office login with secured login access.
- In case transaction statements are sent by email, I/We shall immediately inform to you about change in email address, if any
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- I am aware that this is declaration form should be in English or in any other I language known to me.
- I/We am/are aware that the transaction statement may be accessed by other entities in case the confidentiality/secretcy of the login name and password is compromised.
- I/We am/are aware that I/We will not receive any documents in paper form.
- I/We further agree to indemnify you and keep you indemnify against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our direction given above.

The above declaration and the guidelines on ECN given as above have been read and understood by me/us.

Yours faithfully,

First Holder	Second Holder	Third Holder
☒	☒	☒

Client Name : _____

UCC Code : _____

Date : _____

DECLARATION BY KARTA

I _____ (Name of the Karta) the Karta of _____ Hindu Undivided Family (HUF) do hereby declare that I am the Karta of HUF is authorized to execute & operate the depository account opened with you on behalf of HUF and I state that all the members/coparcener of HUF are jointly and severally responsible for dealing/transaction/delivery slips that are executed by me on behalf of the HUF and shall abide by the respective Exchange, Bye Laws, and Regulations.

I Further state that I am well aware of the CDSL procedures and shall comply with CDSL provisions under its Byelaws, Rule and Regulations and also provide with the necessary information/details from time to time to the above trading member.

List of Family Members

Sr. No	Name of Coparcener/Members	Gender	Date of Birth	Relation with Karta	whether Coparcener/Member (Pl.

Thanking you,

Yours faithfully,

X

Signature of Karta with HUF stamp

AADHAR UPDATION CONSENT-VOLUNTARY

To,

MNM Stock Broking Pvt Ltd

101-102, JP Complex, Opp C N Vidhyalay,
Nr Ambawadi Circle, Ambawadi, Ahmedabad-380 015.

Name	
PAN	
AADHAR	

Request for Aadhar Submission : ☐ YES ☐ NO

I/We hereby confirm, and submit voluntarily at my/our own discretion my/our Aadhar number(s) as issued by Government of India to MNM Stock Broking Pvt Ltd. without any compulsion, along with my/our other KYC documents for purpose of opening of an account based relationship. MNM Stock Broking Pvt Ltd. has not forced me to submitting the same.

Request for Aadhaar updation : ☐ YES ☐ NO

I/We wish to link my/our Aadhaar Number I/we have no objection in authenticating the same with Aadhaar based authentication system via OTP/Biometric/demographic information. In case of authentication failure UIDAI records, I/we understand that my/our Aadhaar no. will not be updated in the MNM stock Broking Pvt Ltd records.

Consent to share Aadhaar details : ☐ YES ☐ NO

I/we hereby give my/our consent to MNM Stock Broking Pvt Ltd and its Group Companies to update and share my Aadhaar number and related details obtained from UIDAI through authentication using OTP/Biometric/Demographic information on my behalf with any third party entities like Exchanges, Depositories, KRA, CERSAI, AMC's, PMS, Mutual Funds, Insurer's or any other institution that may be formed in future, or any of its associates or group company etc. where there is a requirement of uploading/updating/modifying the Aadhaar no. in case of any investment or purchase of any product /services from such entities made through MNM Stock Broking Pvt. Ltd or in case there is a regulatory requirement for the same or in any other case what so ever.

Also, I/We hereby give my/our consent to MNM Stock Broking Pvt. Ltd to share my Aadhar number and related details obtained from KRA, CERSAI as part of fetching process etc. or any other institution that may be formed in future, or any of its associated or group company etc. with any third party entities like Exchanges, Depositories, KRA, CERSAI, AMC's, PMS, Mutual Funds, Insurer's or any other institution that may be formed in future, or any of its associates or group company etc. where there is a requirement of uploading/updating/modifying the Aadhar no.in case of any investment of purchase of any product/services from such entities made through MNM Stock Broking Pvt. Ltd or in case there is a regulatory requirement for the same or in any other case what so ever.

Name	
Signature	

To,

MNM Stock Broking Pvt Ltd

101-102, JP Complex, Opp C N Vidhyalay,
Nr Ambawadi Circle, Ambawadi, Ahmedabad-380 015.

Dear Sir/Madam,

Sub : Acknowledgment and confirmation

I/We confirm that, I/we have received the following documents from you and that I/we have read, understood and agree all the content/clause(s) of the same.

- Index of documents explaining brief of signification of documents
- Account opening form
- Rights and Obligations of Beneficial owner & Depository Participant
- Rights and Obligations of stock broker, authorised person and clients for trading on exchanges including additional rights & obligations in case of internet/wireless technology based trading
- Risk Disclosure Documents (RDD) for capital market and derivative segments
- Most Important Terms & Conditions (MITC)
- Guidance note detailing Dos & Don'ts
- Tariff Sheet
- Policies & Procedures

I/we confirm that, I/we have been explained the above documents as required by me/us. I/we have been informed that other document / policies and Risk disclosure with respect to trading by individual traders in Equity Futures & Options Segments, Escalation matrix and Investor charter detail share also available on your website www.mnmshares.com

I/we have also been explained the entire voluntary documents, their significance and that I/we right to disagree with all or any of them. Having understood all these documents and after careful evaluation of each of them, I/we have agreed to abide by the said documents. I/we have also put my/our signature(s) wherever required.

I/we confirm that I/we have been informed that MNM Stock Broking Pvt Ltd. is engaged in proprietary trading i.e. trading in securities market on its own account.

I also confirm that I have received the information from MNM team related to SEBI investor education website and educative materials details are available on respective exchange's website.

Yours faithfully,

	First Holder	Second Holder	Third Holder
Name			
Signature	X	X	X

UCC Code : _____

Client/BO Id : _____

Date : D D M M Y Y T Y

Policy on Handling of Good Till Cancelled (GTC) / Good Till Triggered(GTT) and similar types of orders

Introduction

This policy outlines the procedures and guidelines for handling Good Till Cancelled (GTC), Good Till Triggered (GTT), and similar types of orders offered by our firm to clients. This policy is formulated in compliance with the National Stock Exchange of India Limited (NSE) Circular Ref. No: NSE/INSP/62528 and aims to ensure consistency, transparency, and protection of investor interests.

Scope

This policy applies to all clients of who use GTC/GTT orders or similar types of orders. It details the validity of such orders, their handling in case of corporate actions, and communication protocols to clients.

Policy Details:

1. Order Validity

- **Good Till Cancelled (GTC) Orders:** These orders remain active until they are either executed or explicitly cancelled by the client.
- **Good Till Triggered (GTT) Orders:** These orders remain active until the specified trigger conditions are met, leading to order execution, or until they are cancelled by the client.

2. Handling of Orders during Corporate Actions

In the event of corporate actions (e.g., dividends, stock splits, mergers), the handling of GTC/GTT orders will follow these protocols:

- **Cancellation:** All pending GTC/GTT orders will be cancelled prior to the corporate action to prevent erroneous trades.
- **Price Reset:** Where applicable, orders may be adjusted to reflect new prices post-corporate action.
- **Retention:** If an order is retained post-corporate action, clients will be informed of the adjustments made.

3. Client Communication

- **Notification Timeline:** Clients will be notified of upcoming corporate actions affecting their GTC/GTT orders no later than one day prior to the ex-date of the corporate action.
- **Communication Channels:** Notifications will be sent through email or other suitable mechanisms that can be preserved. In case of undelivered emails, alternate communication methods such as physical delivery, SMS, or electronic instant messaging services will be used, adhering to the safeguards prescribed in NSE Circular NSE/INSP/52604 dated June 10, 2022.

Integration with Account Opening Documents

- The policy will be included in the Account Opening Form/Kit under the heading "Policy on Handling of Good Till Cancelled Orders of Client" within the Policy and Procedures document.
- The policy will be made available to clients.

Policy Communication to Existing Clients

- Existing clients will be informed of this policy via email or other suitable mechanisms. If the initial communication is undelivered, alternative channels will be employed to ensure receipt.

Approval and Review

This policy is approved by Board of Directors and will be reviewed annually or as required in response to regulatory changes.

Policy on providing the facility of voluntary freezing/blocking the online access of the trading account to clients.

Background:

SEBI vide 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 has issued circular on Facility of voluntary freezing/ blocking of Trading Accounts by Clients”.

As per the said circular trading members are supposed to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients on account of suspicious activities.

Purpose:

The purpose of this Policy is to set out the process to achieve the objective as mentioned above. Major parameters of this Policy are mentioned below:

Mode of intimation by client for freezing/ blocking trading account:

The client willing to freeze/block the online access of trading account on account of observance of any suspicious activity may request for voluntary freezing/ blocking the online access of trading account through following mode.

a) Email from Client registered e-mail ID to MSBPL'S registered email id: *stoptrade@mnmsshares.com*

b) IVR/ Tele Calling to MSBPL'S registered no: **+91 70690 22321**.

The request so received will be verified with our record and an acknowledgement will be issued to client post validation.

The online access of the trading account given to client will be freeze/blocked as also will cancel all the pending orders in all segment of the said client.

The timelines for freezing/ blocking of the online access of the clients' trading account is as under:

Scenario	Timelines for issuing acknowledgement as well as freezing / blocking of the onlineaccess of the trading account.
Request received during the trading hours andwithin 15 minutes before the start of trading.	Within 15 minutes
Request received after the trading hours and 15 minutes before the start of trading.	Before the start of next trading session

Trading hours shall be as follows:

Capital Market Segment: 9.15 a.m. to 3.30 p.m.,
Equity Derivatives Segment: 9.15 a.m. to 3.30 p.m.,
Currency Derivatives Segment: 09.00 a.m. to 05.00 p.m.,
Commodity Derivatives Segment: 09.00 a.m. to 11:30 p.m.

The time limit of 15 minutes is being specified for the purpose of issuing acknowledgement as well as freezing/blocking of the online access of the trading account.

Communication post freezing/blocking on-line access of trading account:

A communication will be sent on the registered mobile number and registered e-mail ID of the client, stating that the online access to the trading account has been frozen/blocked if any, have been cancelled.

Details of open positions (if any) will also be communicated to the client along with contract expiry information within one hour from the freezing/blocking of the trading account.

Record Maintenance:

Following records/log w.r.t. request received to freeze/block the online access of trading account be preserved for future use Confirmation given for freezing/blocking of the online access of the trading account and Cancellation of pending orders if any, sent to the clients.

Liability on the part of trading member in case of failure to freeze/block online access within time:

In case of failure in freezing/ blocking the online access within the prescribed timelines (15 minutes in case the request is received during the trading hours and within 15 minutes before the start of trading / Before the start of the next trading session in case the request is received after the trading hours and 15 minutes before the start of the trading).

Process for re-enabling the client for online access of the trading account:

- Submission of duly signed application for online access re-enablement.
- Request for re-enablement through registered email id

Re-enablement of online access be done after carrying out necessary due diligence including validating the client request.

It is clarified that:

- a. Freezing/blocking is only for the online access to the client’s trading account, and there shall be no restrictions on the Risk Management activities of the Trading Member.
- b. The request for freezing/ blocking does not constitute request for marking client Unique ClientCode (UCC) as inactive in the Exchange records.

Effective Date:

This policy is effective from July 01, 2024.

Review and update:

This policy shall be reviewed and updated on an annual basis or as and when there are any changes introduced by any statutory authority.

	First Holder	Second Holder	Third Holder
Name			
Signature	X	X	X