MLB COMMODITIES PVT. LTD.

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EMPOWERING INVESTORS
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Client Code Modification Policy

[In accordance with SEBI circular ref. no. CIR/DNPD/6/2011 dated July 5, 2011and further SEBI Circular ref. No. SEBI/HO/CDMRD/DMP/CIR/P/2016/73 dated August 19, 2016]

Client code modification is not allowed as routine item.

In exceptional circumstances, it would be allowed in case of punching error/ communication error and modifications within relative accounts only after ascertaining and analyzing the reason for modification and considering the genuineness. Case wise details should be reported to the senior level Manager and only with his/her approval, the modification should be carried after beingsatisfied that it is genuine, the same is required to be done to protect the interests of the client.

The following examples would constitute genuine errors with regard to client code modifications:

- Error due to communication and/or punching or typing such that the original client code/name and the modified client code/name are similar to each other.

- Modification within relatives ('Relative' for this purpose would mean "Relative" as defined under the Companies Act, 2013).

- Proprietary trades shall not be allowed to be modified as client trade and vice versa.

Shifting of any trade to the error account of the trading member shall not be treated as modification of client code, provided the positions arising out of trades in error account are subsequently liquidated/closed out in the market and not shifted to some other client code.

The facility to modify the client codes shall be available only at the Head Office by default and no such rights are given to the branches/ authorized persons. In rare cases, if this needs to be done for neat terminals, modification facility will be enabled for that particular day after obtaining approval from senior level manager and disabled the next day.