

MLB Capital Pvt. Ltd
 301, Pratap Chambers, Gurudwara Road, Karol Bagh,
 New Delhi-110005

SEBI Reg No: INZ000280737 ; NSE (Cash, F&O, CDS); Member Code: 14451
 BSE (Cash, F&O, CDS); Member Code: 6478

Dear Sir,

SUB: Application for dealing/trading in additional Exchange/ Segment

This is with reference to my trading account held with you. I hereby declare that I/we wish to deal/trade in the Cash/Derivatives/Currency segment provided by you and furnish the following details:

PAN		U. Client Code:	
Full Name			
Address			
Mobile	SMS alert facility required <input type="checkbox"/> Yes <input type="checkbox"/> No		
	above mobile is related to: <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent Specify Pan number of Mobile owner (if not of Self):		
Email Id	above email is related to: <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent Specify Pan number of email owner (if not of Self):		
	Whether you wish to avail of the facility of Internet trading / wireless technology		<input type="checkbox"/> Yes <input type="checkbox"/> No (Please specify.....)
Gross Annual Income Details for the financial year _____ (Please tick whichever is applicable)			
<input type="checkbox"/> Below Rs. 1 lac <input type="checkbox"/> Rs.1 Lac - 5 Lac <input type="checkbox"/> Rs. 5 Lac- 10 Lac <input type="checkbox"/> Rs.10 Lac - 25 Lac <input type="checkbox"/> Rs. 25 Lac and above			
Required to enclose a copy of any valid financial proof viz. ITR copy, Salary Slip, form 16, Profit and loss a/c etc.in support of the financial status declared above.			

Trading Preferences (Please sign in the relevant boxes where you wish to trade. Please Strike off the segment not chosen by you.)	
Exchanges : NSE & BSE	
Capital Market – Cash / Mutual Fund	Equity Derivatives (F&O)
*	*
Currency Derivatives	Debt
*	*
If you do not wish to trade in any of segments / Mutual Fund, please mention here:	

Further, I would like to confirm that there is no change in the KYC details/information already provided to you on _____. I understand that the Member-Client Agreement executed/KYC is construed as Agreement /KYC for the additional segment also.

I/we would also request you to kindly facilitate me by adjusting the amount lying to my/our credit in one exchange/segment with the debit arising out of my transactions in another exchange/segment.

I/We confirm having read/been explained and understood the contents of the modified/amended RMS Policy, Policies and Procedures, Running account Authorisation, POA addendum etc. and taken note that the same are displayed at the website www.mlbcapital.com for my/our reference.

Declaration

- 1) I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/are aware that I/we may be held liable for it.
- 2) I/We confirm having read/been explained and understood the contents of the document of policy and procedures of the stock broker and the tariff sheet.
- 3) I/We confirm having read/been explained and understood the contents of the 'Rights and Obligations' document(s) including clauses mentioned under 'Internet and Wireless Technology based trading facility provided by the stock brokers' and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/we have also been informed that the standard set of documents has been displayed for information on stock broker's designated website www.mlbcapital.com.
- 4) I/We have read and understood the terms & conditions related to SMS alert facility given in Annexure A and B as given at www.mlbcapital.com. I/We hereby give my/our consent for receiving information including Central KYC Registry through SMS/Email on the above registered mobile number/email address.

Date:

Place:

*

(Signature of Client)

For any grievance/dispute please contact MLB CAPITAL PVT. LTD. at the above address 301, Pratap Chambers, Gurudwara Road, Karol Bagh, New Delhi-110005 or email id-mlbcaps@hotmail.com and Phone No. +91-11-45060600. In case not satisfied with the response, please contact the concerned exchange(s) at:

National Stock exchange at ignse@nse.co.in or call at 18002660050
Bombay Stock exchange at is@bseindia.com or call at 022-22738097

OPTIONAL

Required only if trading in Equity/ Currency Derivatives segment and where securities are to be utilised against margin obligations.

Letter of Authorisation to transfer/pledge the securities with Clearing Member/Corporation

To, MLB Capital Pvt Ltd
 301, Pratap Chambers, Gurudwara Road, Karol Bagh, New Delhi 110005

I/We are dealing through you as a client registered in NSE/BSE in Future & Options/ Currency Derivatives. I have given you the securities as margin. I hereby confirm and declare that:

1. The Securities are in existence, owned by me/us and are and shall be free from any charge, lien or encumbrance, whether prior or otherwise
2. That I/We hereby authorize member to utilize any such securities retained in my/our account with you for my dealings in any segment towards collateral.
3. That I/We hereby authorize member to deposit / pledge these securities with a clearing house / clearing member / exchange to provide or adjust for cash - limits / margins.
4. That these securities shall be valued at current market prices and credit (referred as collateral amount) shall be assigned only after applying the due hair-cut percentages, which shall vary from security to security.
5. That I/We undertake to replenish any shortfall in the value of securities in the form of additional securities and / or cash, as is acceptable to member by the start of the next trading session from the time of member intimating me/us on such shortfall either orally or in writing.
6. That I/We hereby authorize member to dispose / liquidate my/our securities to meet any shortfall in margins and / or adjust any outstanding dues in my/our account with member.
7. That I/We shall intimate member in advance for any release of securities from your custody / from such entity with which those securities may have been deposited pledged. I / we accept that member shall not be releasing the securities pending any outstanding positions and dues in my/our account with member. Further member shall transfer the securities lying in the credit of the client within one working day of the request if the same are lying with him and within three working days from the request if the same are lying with the Clearing Member/Clearing Corporation.
8. That I/We shall intimate member at least 2 days in advance, but under no circumstance later than "T" days (T refers to a sale transaction date) to adjusting my/our securities with you against my/our sale obligation in the same securities in any exchange - segment. I/We hereby undertake to fulfill any shortfall in the collateral amounts arising out of such adjustment of securities, before the scheduled securities pay-in-date at the exchange, failing which member shall not be responsible for shortage in securities pay-in.
9. That in future I/We shall not make any claim from member, in any manner whatsoever for any losses and costs arising of shortage in securities pay-in mentioned in point 7 & 8 and delay in releasing my securities back, due to reasons associated with depository participant / clearing house / clearing member.
10. This authorization may be revoked at any time by me/us by giving written notice to the member.

Signature with Date

Name: _____

OPTIONAL

RUNNING ACCOUNT AUTHORISATION

To,
MLB Capital Pvt Ltd
301, Pratap Chambers, Gurudwara Road, Karol Bagh, New Delhi 110005

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Interest Rate future Segment and/or Mutual Fund Segment & in order to facilitate ease of operations and upfront requirement of margin for trade. 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) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
2. I/We request you to settle my fund as per my choice mentioned below or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
3. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds/Mutual Fund Units towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
4. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
5. I/We further authorize you to retain an amount of upto Rs. 10,000/- (net amount across segment and across stock exchanges) in order to avoid administrative/operational difficulties in settling my/our account. The same may be released on my/our specific request.
6. The running account authorization provided by me shall continue and remain valid until it is revoked by me anytime in writing.

I/We authorise you to actually settle the account with you atleast once in a calendar month / once in a calendar quarter. *(strike off whichever is not applicable)*

Signature with Date

Name: _____

[Note: To be signed by person himself/herself and not to be signed by attorney/ authorized person etc.]

Most Important Terms and 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 favour 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, net worth, 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.

(Signature of Client)

MLB CAPITAL PVT LTD

CIN NO U67120DL1996PTC079292 / Sebi Single Regn. No. for Stock Broker : INZ000280737

Member : N S E : TM No. 14451 | Member: B S E : TM No. 6478

301, Pratap Chambers, Gurudwara Road, Karol Bagh, New Delhi 110005

Email id : mlbcapital@mlbcapital.com; Phone: 91-11-45060606

Policy to provide the facility of voluntary freezing/ blocking the online access of the trading account to their clients on account of suspicious activities

(per requirements of SEBI Circular No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024)

Following is the policy for providing the facility of voluntary freezing/ blocking the online access of the trading account to their clients on account of suspicious activities :-

1. We shall make available to the clients the following two modes of communications through which the client may request for voluntary freezing/ blocking the online access of trading account if any suspicious activity is observed in the trading account: -
 - a) Email from registered e-mail ID to stoptrade@mlbcapital.com
 - b) IVR/tele-calling on 011-45060605
2. We shall take the following actions on the receipt of request through any modes of communications as provided above for freezing/blocking of the online access of the trading account from the client:
 - a. Validate that the request is received from the client as per below point no. 4 and issue the acknowledgement as well as freeze/block the online access of the client's trading account and simultaneously cancel all the pending orders 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 online access of the trading account.
Request received during the trading hours ¹ and within 15 minutes before the start of trading.	Within 15 minutes ²
Request received after the trading hours and 15 minutes before the start of trading.	Before the start of next trading session

¹ 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.

² To begin with, 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. This time limit shall be contracted after a review in next six months after the date of its applicability to enhance protection of investors from suspicious activities.

- b. Post freezing/blocking the client's trading account, send a communication 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 and all the pending orders in the client's trading account, if any, have been cancelled along with the process of re-enablement for getting the online access to the trading account.
 - c. Details of open positions (if any) will also be communicated to the client alongwith contract expiry information within one hour from the freezing/blocking of the trading account. This will eliminate the risk of unwanted delivery settlement. This time limit shall be contracted after a review in the next six months after the date of its applicability to enhance protection of investors from suspicious activities.
3. We shall validate that the request for freezing/blocking of the online access of the trading account is received from the respective client only. This will be done by:
 - a. verifying whether request is received from the registered phone number/e-mail Id of the client; or where request is received from other than registered phone number/e-mail Id of the client, we will have a client authentication procedure (2 Factor Authentication) in place or
 - b. Following any other process as may be prescribed by the Exchange(s) uniformly in consultation with SEBI, from time to time.
4. We shall maintain the appropriate records/logs including, but not limited to, request received to freeze/block the online access of trading account, confirmation given for freezing/blocking of the online access of the trading account and cancellation of pending orders, if any, sent to the clients.
5. Re-enabling the client for online access of the trading account: - We shall re-enable the online access of trading account after carrying out necessary due diligence including validating the client request and unfreezing / unblocking the online access of the trading account.
6. 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 Client Code (UCC) as inactive in the Exchange records.

I/We hereby acknowledge the receipt of the Policy wrt. facility of voluntary freezing/ blocking the online access of the trading account. I/we are also aware that the aforesaid documents are available at your website for my reference.