

To,  
**MLB Capital Pvt. Ltd.,**  
301, Pratap Chambers, Gurudwara Road,  
Karol Bagh, New Delhi -110005  
Ph: 011-45060606, 28759891/2 Fax: 011-28759898

Sir,

**SUB: Periodic review of Financial details**

**Reg : Client Code:** \_\_\_\_\_

**Segments Enabled:** \_\_\_\_\_

I/We understand that as per the guidelines prescribed by SEBI, the client is required to share their financial information to the stock broker on a periodic basis.

Therefore, I/we request you to update below mentioned Financial Details for the Financial year \_\_\_\_\_ in my/our Account with you.

(Please tick whichever is applicable)

Below Rs. 1 lac	Rs.1 Lac - 5 Lac	Rs. 5 Lac- 10 Lac
Rs.10 Lac - 25 Lac	Rs 25 Lac and above	

Enclosed are the valid financial proof(s) in support of the financial status declared above \*.

Signature :       ★

Client Name:     \_\_\_\_\_

Date:             \_\_\_\_\_

**\* Clients trading in Derivatives segment and Non Individual Client's (Corporate, Trust, Partnership Firm, HUF) are required to enclose a copy of any of the following document:**

Copy of Income Tax Return, Copy of Annual Accounts, Copy of Form 16 (Salary certificate),  
Networth certificate duly certified by Chartered Accountant, Bank account statement for last 6  
months, copy of demat account Holding statement

## POLICIES AND PROCEDURES

### 1. Refusal of orders for penny Stocks: -

The client is aware and agrees that the stock broker may refuse or restrict a client in placing the order in certain securities depending on various conditions like volume / value / part of illiquid scrips / Z group of securities, although a client may have credit balance or sufficient margin in the trading account. List of such scrips will be reviewed on a periodical basis and will be updated on M.L.B website.

However, stock broker under exceptional circumstances may execute cliential order. The stock broker has the discretion to reject execution of such orders based on its risk perception.

### 2. Setting Up client's Exposure Limit:-

The client is aware and agrees that the stock broker may set the Exposure limits on the basis of available base capital which may comprise of Ledger and stocks (after suitable margin hair cut). The limit may be allowed on a multiplier basis to the available capital or actual VAR margin basis or a specified margin depending on the Market condition. Client agrees that said limit parameters is a dynamic process that is allowed at the discretion of the stock broker based on the market conditions and their risk perception about the market. However on exceptional situations broker may use its own discretion in providing the limits and may change for a client or for all depending on market condition.

### 3. Applicable Brokerage Rate

- a) The stock broker is eligible to charge brokerage with respect to transactions effected by it in various segment as mentioned herein below-
  - For Capital Market Segment- The maximum brokerage in relation to trades effected in the securities admitted to trades effected in the securities admitted to dealing on the Capital Market Segment of the Exchange shall be 2.5% of the contract price exclusive of statutory levies. It is further clarified that where the sale / purchase price value of a share is Rs. 10/- or less, a maximum brokerage of 25 paise per share may be charged.
  - For option Contracts- Brokerage for options contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract. The brokerage on option contracts shall not

exceed 2.5% of the premium amount or Rs. 100 (per lot) whichever is higher.

- b) The stock broker may charge different Brokerage for Deliverable and intraday transactions.
- c) The client is aware that any request for change in the brokerage rate has to send in writing to the Branch who in turn will forward the request to Head Office of the stock broker. Acceptance / rejection of such request is at the discretion of stock broker.
- d) Other Levies, Charges, service tax etc. will be charged on brokerage as per the Rules prescribed by the Government / Regulatory Agencies.

All the above charges and levies debited to clients would be mentioned in the Contract note send to client.

### 4. Imposition of penalty / delayed payment charges:

- The client is required to pay all amounts due to the stock broker on its due date. The amount due to broker shall include all type of Margin and pay-in obligation or on account of any other reason.
  - In case the client does not pay the amount due on time, the stock broker shall charge delayed payment charges up to the rate of 2% per month on the daily outstanding value or at such rates as may be determined from time to time by the stock broker. In case of Capital Market and F&O Segment, interest will be charged from the time it become due till the time obligation is cleared by the client. The objective of charging such a charge is to force a client to clear their dues on a timely basis.
  - The client agrees that the stock broker may impose fines/penalties for any orders / trade of the client which are contrary to this agreement / rules /regulations of the Exchange. Further, under the instances where the stock broker has been penalized from any Authority on account of / as a consequence of orders / trades of the client, the same shall be borne by the client.
5. The right to sell client's securities or close client's positions, without giving notice to the client, on account of non - payment of client's dues:-

The Client shall provide timely funds/securities for the purchase / sale of securities to the stock broker for meeting his obligation to the Exchange. In case of client falling short of providing funds/securities the stock broker has the right to close the positions. The stock broker has the right

to sell client's securities or close clients position with or without giving prior notice to client on account of non payment of dues to the extent of Ledger debit and/or to the extent of Margin obligation. The broker can liquidate the securities bought or collaterals given or any other securities given in any other from for clearing the clients obligation.

#### 6. Shortages in obligation arising out of internal netting of trades

The client agrees to the laid down policy and procedure followed for handling shortages arising out of internal netting of trades, as mentioned herein below:

Close out price will be the highest weighted Average price for any day recorded in the scrip from the trading day on which the transaction took place up to the day of auction or the closing price on the day or auction ie. T+3 + 2% (for NIFTY INDEX scrips) and 5% (for other scrips)

To summarise the buyer will get credit as given below:

Highest Weight Average price (T to T+3) or closing price on T+3 (whichever is higher). + 2% (for NIFTY INDEX SCRIPS)

Highest Weighted Average price (T to T+3) or closing price on T+3 (whichever is higher). + 5% (for OTHER SCRIPS)

The seller will be debited by the same amount + 0.50% penalty. (Above defined parameters are subject to change from time to time)

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

In case overall position in a scrip / derivatives contract has reached the Regulators prescribed Exchanged limit / Market wide Open Interest limit, then client may not be allowed to take further position, till such time Regulator prescribed limits comes down to create a new position.

Further, the stock broker may close the existing position of a client to the extent of debit balances to release the Margin from the Exchange. In case

if the stock broker has sufficient Margin cover on behalf of its client, it may still decide based on the market conditions or may close the existing position of a client.

#### 8. Temporary Suspension/Closure of Account

- The client may request the stock broker for temporary suspension/closure of his trading account by sending a written request will be in turn sent by branch to Head Office for further processing where after verification of the client details, the trading account of the client will be suspended.
- The client would be required to clear all his dues / settlement of obligation before his account is temporarily suspended. The client may also be required to fulfill other conditions, on a case to case basis.
- The stock broker can withhold the payouts of client and suspend/close his trading account due to any internal / regulatory action.
- Upon suspension/closure of trading account an intimation will be sent to the client within 15 days of suspension.

#### 9. Deregistering a client

In addition to what the client has agreed in the agreement, the stock broker may terminate a client with immediate effect, but not limited to the following reasons -

- If the client is debarred by SEBI or any other regulatory authority
- As a part of surveillance measure, if a client appears to be indulging in manipulative practices.
- Under the circumstances when there is a reasonable ground to believe that the client is unable to clear its dues or has admitted its inability to pay its debt.
- If the client violates any of the terms of the agreement.

Client acceptance of policies and procedures mentioned hereinabove-

I / we have fully understood and agree to sign the same. Above polices and procedures may be amended / changed unilaterally by the stock broker provided the same is informed to me / us.

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Client Signature

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Voluntary Document  
**Running Account Authorisation**

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

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

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

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

Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/ trading. In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. Please explain in the statement(s) being sent the retention of funds/securities and the details of the pledge, if any. I agree that if I/we fail to bring any dispute arising from the statement of accounts or settlement so made to your notice within 7 working days from the date of receipt of funds/securities or statement, as the case may be in writing by delivery at your registered office then in that event the statement of accounts or settlement so made shall attain finality and I/we shall have no right to dispute any/either of these ever. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

Please further note that while I am entitled to revoke this authorisation at any time, however, such termination shall be subject to notice period of fifteen days from the date of physical delivery of revocation letter at your registered office to allow you to make necessary changes to handle my account without running account authorisation. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities / monies under this agreement.

I/we authorize you to actually settle my account with you atleast once in a calendar month/once in a calendar quarter.

Yours faithfully,

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Signature

Date: .....

Client Code: .....

Name : .....

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

Voluntary Document

**Consent Letter for E-mail Id Regularisation**

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

Sir,

**SUB: E-mail Id regularization**

**RE: Client Code: \_\_\_\_\_**

I/we have been receiving from MLB Capital Pvt. Ltd. the digital contract notes, bills, ledgers, transaction statements, Demat statement, holding statement(s)/bills or other statements(s), related notices, Circulars, amendments and such correspondence, documents, records to my email id \_\_\_\_\_@yourstock.co.in. I/we hereby confirm that this is my default e-mail id for the purpose of receiving all the above documents or any other correspondence.

I/We hereby confirm that I/we have been using this e-mail id in the past to receive the above documents and have no objection to continue and authorize you to consider this as my/our valid e-mail id.

In addition to above, I/we request you to kindly send a copy of above documents to my secondary e-mail Id also.

Secondary Email Id (if any)	
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Thanking you,

Yours Sincerely,

Signature : ★

Client Name: \_\_\_\_\_

Date: \_\_\_\_\_

**Additional Clauses for Internet Trading**

In pursuance to clause 27 of agreement dated \_\_\_\_ of \_\_\_\_\_ between MLB Capital Pvt. Ltd. (member of National Stock Exchange of India Ltd. with SEBI Registration No.:INB230979530, INF230979530 and INF230979530), hereinafter called MEMBER and having its registered office at 301, Pratap Chambers, Gurudwara Road, Karol Bagh, New Delhi – 110028 and

\_\_\_\_\_ a individual /company /trust /firm or any other body duly formed and registered under the relevant Act, hereinafter called the CLIENT, having its residence/registered office at \_\_\_\_\_

The Member and the Client have mutually agreed that the Principal Agreement, shall be modified in the manner as per NSE Circular No. NSE/CMO/0014/2000 dated 12.05.2000, the following clauses are hereby included as part and parcel of the agreement.

1. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations and guidelines issued by SEBI and Stock Exchange rules, regulations and Bye-laws that may be in force from time to time.
2. In the event of death or insolvency of the client or his otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, MEMBER may close out the transaction of the client and the client or his legal representative shall be liable for any losses, costs and be entitled to any surplus which may result therefrom.
3. The agreement entered into between the MEMBER and the CLIENT shall stand terminated by mutual consent of the parties by giving at least one month written notice. Such cancellation or termination shall not have any effect on transaction executed before the date of such notice of termination and the parties shall enjoy the same rights and shall have same obligations in respect of such transactions.
4. The instructions issued by an authorized representative of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the client.
5. The CLIENT is aware that authentication technologies and strict security measures are required for the internet trading through order routed system and undertakes to ensure that the password of the CLIENT and/or his authorised representative are not revealed to any third party.
6. The CLIENT agrees that the MEMBER shall not be liable or responsible for non-execution of the orders of the CLIENT due to any link/system failure at the CLIENT/ MEMBERS/EXCHANGE end.
7. The Stock Exchange may cancel a trade suo-moto without giving any reason thereof. In the event of such cancellation, MEMBER shall be entitled to cancel relative contract(s) with CLIENT.

8. The MEMBER shall also send the Order/Trade confirmation slip through E-mail to the CLIENT at his request, within \_\_\_\_\_ (time period as specified by the Client) from the time of execution of order/trade on the NEAT system, as the case may be. The CLINET agrees that the information sent by MEMBER by E-mail is deemed to be a valid delivery of such information by the MEMBER.
9. The CLIENT is aware that the MEMBER has provided on the web site a facility for reconfirmation of orders, which are larger than that specified by the MEMBER's risk management, by the MEMBER and is also aware that the MEMBER has the discretion to reject the execution of such orders based on his risk perception.
10. The Member and the Client are aware of the provisions of Bye-Laws, Rules and regulations of the Exchange relating to resolution of disputes/differences through the mechanism of arbitration provided by the Exchange and agree to abide by the said provisions.
11. All trades, transactions and contracts are subject to the Bye-Laws, Rules and Regulations of the Exchange and shall be deemed to be and shall take effect as wholly made, entered into and to be performed in the city of Mumbai and the parties to such trade shall be deemed to have submitted to the jurisdiction of the Courts in Mumbai for the purpose of giving effect to the provisions of the Rules and Regulations of the Exchange.

IN WITNESS THEREOF, the parties to agreement have caused these presents to be executed.

Signed for and on behalf of <b>MEMBER:</b> <b>MLB Capital Pvt. Ltd.</b>		Signed for and on behalf of <b>CLIENT:</b>	
By :		By :	
Signature:		Signature:	★
Title :		Title :	
Place :		Place :	
Date :		Date :	
Witness:		Witness:	