



NX Block Trades Private Limited

National Stock Exchange of India Limited (NSE) BSE Limited (BSE)
Multi Commodity Exchange of India Limited (MCX)

Branch Code

Group Code

Client Code

Client Name

Form No.

Type of A/c

Date of Opening

CKYC No.



CLIENT REGISTRATION FORM



INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:	
<ol style="list-style-type: none"> 1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners /Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others. 2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list. 3. If any proof of identity or address is in a foreign language, then translation into English is required. 4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted. 5. If correspondence & permanent address are different, then proofs for both have to be submitted. 6. Sole proprietor must make the application in his individual name & capacity. 7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory. 8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given. 9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted. 10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided. 11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc. 	
B. Proof of Identity (POI): - List of documents admissible as Proof of Identity:	
<ol style="list-style-type: none"> 1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license. 2. PAN card with photograph. 3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks. 	
C. Proof of Address (POA): - List of documents admissible as Proof of Address:	
<p>(*Documents having an expiry date should be valid on the date of submission.)</p> <ol style="list-style-type: none"> 1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy. 2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old. 3. Bank Account Statement/Passbook -- Not more than 3 months old. 4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts. 5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/ Gazetted Officer/Notary, public/Elected representatives to the Legislative Assembly/ Parliament/Documents issued by any Govt. or Statutory Authority. 6. Identity card/ document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members. 7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken. 8. The proof of address in the name of the spouse may be accepted. 	
D. Exemptions/clarifications to PAN	
<p>(Sufficient documentary evidence in support of such claims to be collected.)</p> <ol style="list-style-type: none"> 1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc. 2. Investors residing in the state of Sikkim. 3. UN entities/multilateral agencies exempt from Paying taxes/filing tax returns in India. 4. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary. 	
E. List of people authorized to attest the documents:	
<ol style="list-style-type: none"> 1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy). 2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents 	
F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:	
Types of Entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN, Aadhaar and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN, Aadhaar of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership Firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of partnership deed. • Photograph, POI, POA, PAN, Aadhaar of Partners. • Certificate of registration (for registered partnership firms only). • Authorised signatories list with specimen signatures.
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of Trust deed. • Photograph, POI, POA, PAN, Aadhaar of Trustees. • Certificate of registration (for registered trust only). • List of trustees certified by managing trustees/CA.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Bank pass-book/bank statement in the name of HUF. • Deed of declaration of HUF/ List of coparceners. • Photograph, POI, POA, PAN, Aadhaar of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures
Army/ Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • List of Managing Committee members. • True copy of Society Rules and Bye Laws certified by the

INSTRUCTIONS/ CHECK LIST (for filling additional information related to trading account)

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

- *In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.
2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
 3. Demat master or recent holding statement issued by DP bearing name of the client.
 4. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person
 5. For non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.
- Further, considering the infeasibility of carrying out 'in-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

S.No.	Name of the Document	Brief Significance of the Documents	Page No.
MANDATORY PART AS PRESCRIBED BY SEBI AND EXCHANGE'S			
1.	Account Opening Form / Application Form	1. KYC form - Document captures the basic information about the constituent and an instruction/check list. 2. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	1-14
2.	FATCA	FATCA	15-17
3.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	18-32
4.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	33
5.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, Authorised person and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading).	Client Copy
6.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the Capital market, Derivative Segments.	Client Copy
7.	Guidance Note	Do'S And Don'Ts For Trading on The Exchange(S) For Investors and clients	Client Copy
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
8.	Declaration(s) and authorisations by the client	Declarations and authorizations by the client	35-36
9.	Running account authorization	Document authorizing stock broker / trading member to maintain the running account of funds in the manner mentioned therein.	37
10.	Verbal order acceptance authorisation	Document authorizing stock broker/trading member to accept verbal orders in the manner mentioned therein	38
11.	Authority Letter to Send Documents Electronically	Authorisation to send Contract Note, Statement of funds & Securities, Client registration documents etc. Electronically	38
12.	Authorisation	Authorisation to the Stock Broker	39
13.	Request for enablement on SLBM segment	Request for enablement on SLBM segment	39
14.	Aadhaar Consent	Consent letter for individuals and Non-individuals for Aadhaar Updation	40
15.	HUF Declaration	Details of co-parceners and members of HUF	41
16.	MITC	Most Important Terms and Conditions (MITC)	42
17.	Declaration for name mismatch	Declaration to be filled if the name in account opening form different from that on supporting documents for KYC	43
18.	Declaration for signature mismatch	Declaration to be filled if client signature is different from that in pan card / bank	43
19.	Declaration of open positions	Declaration by client for not exceeding positions in commodity segment beyond prescribed limits.	43
20.	Self Declaration - Categorization of the clients for each commodity	Self Declaration - Categorization of the clients for each commodity	44
21.	Acknowledgment	Acknowledgment by Client for receipt of Mandatory and Voluntary Documents	45
22.	Investor Charter	Stock Brokers	Client Copy

*This document / web link of the document is being sent to email address (ID) provided by client in the KYC at the time of account opening. Its latest version shall also be available at the website of the broker: www.nx-block.com



Name of Stock Broker/Trading Member/Clearing Member:

NX Block Trades Private Limited

SEBI Registration No. and Date	INZ000308934	- 7th October 2022
Registration No. of the Trading Member	NSE: 90343 BSE: 6848 MCX: 57105	

Corporate Office:

14th Floor, Urmila Business Park, A95B,
Sector-136, Noida, Uttar Pradesh-201304
Phone: 0120-3635930

E-mail: contact@nx-block.com

Registered Office:

5th Floor, Urmila Business Park, A95B,
Sector-136, Noida, Uttar Pradesh-201304
Phone: 0120-3635930

Website : www.nx-block.com

Compliance Officer Details:

Name : Achal Kumar
Phone No. : 0120-3635932, 8447374354
Email id : compliance@nx-block.com

CEO Details

Name : Shivam Kulshrestha
Phone No. :
Email id : ceo@nx-block.com

For any grievance/dispute please contact NX Block Trades Private Limited at the above address or email id: ig@nx-block.com and Phone No.: 0120-3635932. In case not satisfied with the response, please contact the concerned exchange(s) / Depository(ies) at:

Exchange Name	Email ID	Phone No.
NSE	ignse@nse.co.in	1800-266-0058
BSE	dis@bseindia.com	+91-22-22728517
MCX	grievance@mcxindia.com	+91-22-66494000

Depository Name	Email ID	Phone No.
NSDL	relations@nsdl.co.in	022-24994200
CDSL	complaints@cdslindia.com	022-23023333

You can also lodge your grievances with SEBI at <https://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.

CIN: U74110UP2007PTC089557

MANDATORY DOCUMENTS



KNOW YOUR CLIENT (KYC) / APPLICATION FORM (For Individuals Only)



NX Block Trades Private Limited

5th Floor, Urmila Business Park, A95B,
Sector-136, Noida, Uttar Pradesh-201304
Tele No. 0120-3635930

Application Number:

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Application Type* New KYC Modification KYC

Please fill the form in **ENGLISH** and in **BLOCK** letters
Fields marked * are mandatory
Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

KYC Mode*: Please Tick (✓)

Normal EKYC OTP EKYC Biometric Online KYC Offline EKYC Digilocker

1. Identity Details (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof)

Maiden Name* (if any)

Fathers/Spouse's Name*

Date of Birth*

Gender* Male Female Transgender

Marital Status* Single Married

Nationality* Indian Other

Residential Status* Resident Individual Non Resident Indian

Please tick (✓) Foreign National Person of Indian Origin*

Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC.
Select NRI or Foreign National based on Nationality of the individual)

PHOTOGRAPH

Please affix your recent passport size photograph

Signature Across Photograph

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

A — Aadhaar Card XXXX XXXX _ _ _ _

B — Passport Number (Expiry Date)

C — Voter ID Card

D — Driving License (Expiry Date)

E — NREGA Job Card

F — NPR Letter

Z — Others (Any document notified by Central Government)

Identification Number

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1*

Line 2

Line 3

City/Town/Village* District* Pin Code*

State* Country*

Address Type* Residential/Business Residential Business Registered Office Unspecified

	Applicant E-Sign
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B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1*
 Line 2
 Line 3
 City/Town/Village* District* Pin Code*
 State* Country*
 Address Type* Residential/Business Residential Business Registered Office Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

A — Aadhaar Card XXXX XXXX _ _ _ _
 B — Passport Number (Expiry Date)
 C — Voter ID Card
 D — Driving License (Expiry Date)
 E — NREGA Job Card
 F — NPR Letter
 Z — Others (Any document notified by Central Government)
 Identification Number

3. Contact Details (in CAPITAL)

Email ID*
 Mobile No.*
 Tel (Off) Tel (Resi)

4. Applicant Declaration

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 CVL 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 my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

DATE: (DD-MM-YYYY)
 PLACE:

Applicant e-Sign

Applicant Wet Signature



5. For Office Use Only

In-Person Verification (IPV) carried out by*	Intermediary Details*
IPV Date Emp. Name Emp. Code Emp. Designation	<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) AMC / Intermediary Name: <div style="border: 1px solid black; padding: 5px; text-align: center;"> NX Block Trades Private Limited </div>
Employee Signature and Stamp	Institution Name & Stamp

KNOW YOUR CLIENT (KYC) / APPLICATION FORM (For Non-Individuals Only)



NX Block Trades Private Limited

5th Floor, Urmila Business Park, A95B,
Sector-136, Noida, Uttar Pradesh-201304
Tele No. 0120-3635930

Application Number:

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Application Type* New KYC Modification KYC

Please fill the form in **ENGLISH** and in **BLOCK** letters

Fields marked * are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

1. Entity Details (please refer guidelines)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Date of Incorporation* _____ Plate of Incorporation* _____

Date of Commencement* _____ Registration Number* _____

Entity Type* Private Ltd. Co. Public Ltd. Co. Body Corporate Partnership

Please Tick(✓) Trust/Charity/NGO HUF FPI Category I FPI Category II

AOP Bank Government Body Defence Establishment

Body of Individuals Society LLP

Non-Government Organization Others _____

2. Proof of Identity* (please refer the guidelines)

Officially Valid Document(s) in respect of person authorized to transact

Certificate of Incorporation/Formation _____ Registration Certificate _____

Memorandum of Articles and Association Partnership Deed Trust Deed

Board Resolution Power of Attorney granted to its manager, office, employees to transact on its behalf

Activity Proof-1* (For Sole Proprietorship Only) Activity Proof-2* (For Sole Proprietorship Only)

3. Address Details* (please refer the guidelines)

A. Registered Address*

Line 1*

Line 2

Line 3

City/Town/Village* District* Pin Code*

State* Country*

B. Correspondence/Local Address in India (If different from above)*

Line 1*

Line 2

Line 3

City/Town/Village* District* Pin Code*

State* Country*

	Applicant Digital Signature (DSC)



Proof of Address* (attested copy of any one POA to be submitted - *Not more than 3 months old)

- Certificate of Incorporation/Formation Registration Certificate Other Document _____
 Latest Telephone Bill* (Landline only) Latest Electricity Bill* Latest Bank Account Statement*
 Registered Lease/Sale Agreement of Office Premises **Validity/Expiry Date of POA** (Expiry Date) _ _ _ _ _
 Any Other Proof of Address document (as listed overleaf) _____

4. Contact Details

Email ID _____ Mobile No. _____
Email ID _____ Mobile No. _____
Tel (Off) _____ Fax _____

5. Annexures Submitted

Number of Related Persons -


6. Remarks / Additional Information

7. Applicant Declaration

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

DATE: (DD-MM-YYYY)
PLACE:

Applicant Digital Sign. (DSC)	Applicant Wet Signature
	

8. For Office Use Only

KYC Carried Out by*	Intermediary Details*
KYC Date Emp. Name Emp. Code Emp. Designation	<input type="checkbox"/> Self certified document copies received (Originals Verified) <input type="checkbox"/> True Copies of documents received (Attested) AMC / Intermediary Name OR Code: <div style="border: 1px solid black; padding: 5px; text-align: center;">NX Block Trades Private Limited</div>
Employee Signature and Stamp	Institution Name & Stamp

KNOW YOUR CLIENT (KYC) / ANNEXURE (For Non-Individuals Only)



NX Block Trades Private Limited

5th Floor, Urmila Business Park, A95B,
Sector-136, Noida, Uttar Pradesh-201304
Tele No. 0120-3635930

Application Number:

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Application Type* New KYC Modification KYC

Please fill the form in **ENGLISH** and in **BLOCK** letters
Fields marked * are mandatory
Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

1. Identity Details of Related Person (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof)

Maiden Name* (if any)

Fathers/Spouse's Name*

Date of Birth*

Gender* Male Female Transgender

Nationality* Residential Indian Other

Related Person Type*

Director Promoter Karta Trustee Partner

Court Appointed Official Proprietor Beneficiary Authorized Signatory

Beneficial Owner Power of Attorney Proprietor

Others _____ (please specify) DIN: _____ (Mandatory if the related person is Director)

PHOTOGRAPH

Please affix your recent passport size photograph

Signature Across Photograph

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

A — Aadhaar Card XXXX XXXX _ _ _ _

B — Passport Number (Expiry Date)

C — Voter ID Card

D — Driving License (Expiry Date)

E — NREGA Job Card

F — NPR Letter

Z — Others (Any document notified by Central Government)

Identification Number

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1*

Line 2

Line 3

City/Town/Village* District* Pin Code*

State* Country*

Address Type* Residential/Business Residential Business Registered Office Unspecified

	<p>Applicant E-Sign</p>
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B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1*
 Line 2
 Line 3
 City/Town/Village* District* Pin Code*
 State* Country*
 Address Type* Residential/Business Residential Business Registered Office Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

A — Aadhaar Card XXXX XXXX _ _ _ _
 B — Passport Number (Expiry Date)
 C — Voter ID Card
 D — Driving License (Expiry Date)
 E — NREGA Job Card
 F — NPR Letter
 Z — Others (Any document notified by Central Government)
 Identification Number

3. Contact Details (in CAPITAL)

Email ID
 Mobile No.
 Tel (Off) Tel (Resi)

4. Applicant Declaration

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.
 I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.
 DATE: (DD-MM-YYYY)
 PLACE:

Applicant e-Sign

Applicant Wet Signature



5. For Office Use Only

KYC carried out by*	Intermediary Details*
KYC Date Emp. Name Emp. Code Emp. Designation	<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) <div style="border: 1px solid black; padding: 5px; text-align: center; margin-top: 10px;"> NX Block Trades Private Limited </div>
Employee Signature and Stamp	Institution Name & Stamp

KNOW YOUR CLIENT (KYC) / ANNEXURE (For Non-Individuals Only)



NX Block Trades Private Limited

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Sector-136, Noida, Uttar Pradesh-201304
Tele No. 0120-3635930

Application Number:

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Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

1. Identity Details of Related Person (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof)

Maiden Name* (if any)

Fathers/Spouse's Name*

Date of Birth*

Gender* Male Female Transgender

Nationality* Residential Indian Other

Related Person Type*

Director Promoter Karta Trustee Partner

Court Appointed Official Proprietor Beneficiary Authorized Signatory

Beneficial Owner Power of Attorney Proprietor

Others _____ (please specify) DIN: _____ (Mandatory if the related person is Director)

PHOTOGRAPH

Please affix your recent passport size photograph

Signature Across Photograph

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

A — Aadhaar Card XXXX XXXX _ _ _ _

B — Passport Number (Expiry Date)

C — Voter ID Card

D — Driving License (Expiry Date)

E — NREGA Job Card

F — NPR Letter

Z — Others (Any document notified by Central Government)

Identification Number

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1*

Line 2

Line 3

City/Town/Village* District* Pin Code*

State* Country*

Address Type* Residential/Business Residential Business Registered Office Unspecified

	<p>Applicant E-Sign</p>
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B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1*
 Line 2
 Line 3
 City/Town/Village* District* Pin Code*
 State* Country*
 Address Type* Residential/Business Residential Business Registered Office Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

A — Aadhaar Card XXXX XXXX _ _ _ _
 B — Passport Number (Expiry Date)
 C — Voter ID Card
 D — Driving License (Expiry Date)
 E — NREGA Job Card
 F — NPR Letter
 Z — Others (Any document notified by Central Government)
 Identification Number

3. Contact Details (in CAPITAL)

Email ID
 Mobile No.
 Tel (Off) Tel (Resi)

4. Applicant Declaration

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

DATE: (DD-MM-YYYY)
 PLACE:

Applicant e-Sign

Applicant Wet Signature



5. For Office Use Only

KYC carried out by*	Intermediary Details*
KYC Date Emp. Name Emp. Code Emp. Designation	<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) <div style="border: 1px solid black; padding: 5px; text-align: center; margin-top: 10px;"> NX Block Trades Private Limited </div>
Employee Signature and Stamp	Institution Name & Stamp

ADDITIONAL INFORMATION RELATED TO DEMAT & TRADING ACCOUNT
FOR INDIVIDUAL & NON-INDIVIDUAL
A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank Account No.	Account Type	MICR Number	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others..... In case of NRI: <input type="checkbox"/> NRE <input type="checkbox"/> NRO		
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others..... In case of NRI: <input type="checkbox"/> NRE <input type="checkbox"/> NRO		

 I/We wish to avail trading supported by blocked amount in Secondary Market Yes No N.A

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			

C. OTHER DETAILS

Gross Annual Income Details (please specify)	Income Range per annum <input type="checkbox"/> Below ₹1 Lac <input type="checkbox"/> ₹1-5 Lac <input type="checkbox"/> ₹5-10 Lac <input type="checkbox"/> ₹10-25 Lac <input type="checkbox"/> ₹25 Lac -1 Crore <input type="checkbox"/> More than ₹1Crore Net- worth* Amount (₹)..... As on (date) (___/___/20___) (Net worth should not be older than 1 year)
Occupation (please tick any one and give brief details):	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others.....
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> None
Any other information	

* For Individual Client 'Net-worth' is Optional, In case of Non-Individual client 'Net-worth' will be mandatory.

D. 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				MCX, BSE & NSE
All Segments	Cash	F&O	Currency	SLB	Commodity Derivatives

 If you do not wish to trade in any of segments, please mention here
 If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker. **Currency derivative segment include interest rate future.

E. PAST ACTIONS

 Details of any action/proceedings initiated / pending/ taken by SEBI / Stock Exchange(s) / Commodity Exchange any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years, give details (attach annexure if required) Yes No



F. MOBILE NUMBER AND E-MAIL ID DECLARATION (For Individual)

I hereby declare that the Mobile No. mentioned on KYC belongs to Self Spouse Dependant Children Dependant Parent

Name of the relative _____ PAN

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

I hereby declare that the Email ID mentioned on KYC belongs to Self Spouse Dependant Children Dependant Parent

Name of the relative _____ PAN

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

G. DEALINGS THROUGH OTHER STOCK BROKERS

Name of the Stock Broker																									
SEBI Registration Number																									
Registered office address													PIN Code	<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td> </td></tr></table>		<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td> </td></tr></table>		<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td> </td></tr></table>		<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td> </td></tr></table>		<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td> </td></tr></table>		<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td> </td></tr></table>	
Website					Phone					Fax															
Whether dealing with any other stock broker (In case dealing with multiple stock brokers, provide details of all)																									
Name of Stock Broker																									
Client Code										Exchange															
Details of disputes/dues pending from/to such stock broker																									

H. ADDITIONAL DETAILS

Whether you wish to receive statement of account and contract note electronically or physically	<input type="checkbox"/> Electronic Mode	<input type="checkbox"/> Physical Mode
I/We wish to avail facility provided by the exchange	<input type="checkbox"/> SMS Alert	<input type="checkbox"/> E-mail Alert <input type="checkbox"/> Both
For ECN, E-mail Alerts, Specify your Email Id		
For SMS Alert, Specify your Mobile No.		
Mode of receiving standard account opening documents	<input type="checkbox"/> Electronic Mode	<input type="checkbox"/> Physical Mode
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Number of years of Investment/Trading Experience		
Any other information		

I. INTRODUCER DETAILS (optional)

Name of the Introducer			
Status of the Introducer	<input type="checkbox"/> Authorized Person <input type="checkbox"/> Self Introduce <input type="checkbox"/> Remisier <input type="checkbox"/> Existing Client <input type="checkbox"/> Others (please specify):		
Address of the Introducer			
Phone No. of Introducer		Signature of the Introducer	

J. NOMINATION FORM FOR TRADING AND DEMAT ACCOUNT (To be filled in by Individual applying singly or jointly)

 Nomination Registration No. :

--	--	--	--	--	--	--	--	--	--	--	--	--

Date :

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

 UCC (Trading Code)

--	--	--	--	--	--	--	--	--	--	--	--	--

I/We wish to make a nomination. [Details are provided in Nomination Form Prescribed by SEBI]

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

Nomination can be made upto three nominees in the account.	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
--	------------------------	------------------------	------------------------

1	Name of the nominee(s) (Mr./Ms.)		
---	----------------------------------	--	--

2	Share of each Nominee	Equally <input type="checkbox"/> <small>[If not equally, please specify percentage]</small>		
		%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.				

3	Relationship With the Applicant (If Any)		
---	--	--	--

4	Address of Nominee(s)															
		PIN Code	<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table>													

5	Mobile/Tel. No. of Nominee(s)		
---	-------------------------------	--	--

6	Email ID of Nominee(s)		
---	------------------------	--	--

7	Nominee Identification details : [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature			
---	---	--	--	--

Photograph of 1st nominee Signature of Nominee across photograph	Photograph of 2nd nominee Signature of Nominee across photograph	Photograph of 3rd nominee Signature of Nominee across photograph
---	---	---

Signature	Signature	Signature
-----------	-----------	-----------



<input type="checkbox"/> PAN			
<input type="checkbox"/> Aadhaar	XXXXXXXXXXXX	XXXXXXXXXXXX	XXXXXXXXXXXX
<input type="checkbox"/> Saving Bank Account No.			
<input type="checkbox"/> Proof of Identity			
<input type="checkbox"/> Demat Account ID			

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:

8	Date of Birth {in case of minor nominee(s)}	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y
9	Name of Guardian (Mr./Mrs.) {in case of minor nominee(s)}			
10	Address of Guardian(s)			
		PIN Code		
11	Mobile/Tel. No. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with Nominee			
14	Guardian Identification details : [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature	Photograph of 1st Guardian	Photograph of 2nd Guardian	Photograph of 3rd Guardian
		<i>Signature of Guardian across photograph</i>	<i>Signature of Guardian across photograph</i>	<i>Signature of Guardian across photograph</i>
		Signature	Signature	Signature

<input type="checkbox"/> PAN			
<input type="checkbox"/> Aadhaar	XXXXXXXXXXXX	XXXXXXXXXXXX	XXXXXXXXXXXX
<input type="checkbox"/> Saving Bank Account No.			
<input type="checkbox"/> Proof of Identity			
<input type="checkbox"/> Demat Account ID			

Signature of All Holder's



Sole/First Holder Signature

Signature of Witness for Nomination*

Name of Witness

Address of Witness




Signature of Witness

*Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.
Note:- This Nomination shall supersede any prior nomination made by the account holder(s), if any

NOTES:

1. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
2. A Minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
3. The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
4. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
5. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
6. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
7. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
8. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
9. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
10. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
11. Savings bank account details shall only be considered if the account is maintained with the same participant.
12. DP ID and client ID shall be provided where demat details is required to be provided.

K. DECLARATION FORM FOR OPTING OUT OF NOMINATION

To,	Date
NX Block Trades Private Limited	
CIN: U74110UP2007PTC089557	
<input type="checkbox"/> I/We wish to opt out of a nomination. <i>[Declaration Form opting out of nomination as prescribed by SEBI]</i>	
UCC (Trading Account)	
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.	
Name and Signature of Holder(s)*	
	
Sole/First Holder Signature	

*Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature



DECLARATION

1. I/We understand that the Stock Broker is relying on above information for the purpose of determining the status of the applicants named above in compliance with FATCA/CRS. The Stock Broker is not able to offer any tax advice on FATCA or CRS or its impact on the applicants and I/We shall seek advice from professional tax advisor for any tax questions. Further, I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. I /We agree, as may be required by Regulatory authorities, Stock Broker shall be required to comply to report, reportable details to regulators / tax authorities / or close or suspend my/our account(s)
2. I / We hereby declare that the details furnished above are true, correct and complete 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.
3. I / We confirm having read / been explained and understood the contents of the document on Policies and Procedures, all mandatory/voluntary documents of the Stock Broker and the tariff sheet.
4. I/We further confirm having read, understood and received the contents of the Policies and Procedures, Tariff Sheet, Rights and Obligations, Rights And Obligations document for SLB, Risk Disclosure Document (RDD), Guidance Note, Terms & Conditions, Declarations and Authorisations by the Client, Additional risk/obligation/liability statement in case of trading through wireless technology/Smart Order Routing on Exchange platform, 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 Company's designated website www.nx-block.com.

Name of Client/Authorised Signatory(ies)	Signature's
1.	
2.	
3.	

Date: DD / MM / YYYY

FOR OFFICE USE ONLY

UCC Code allotted to the Client:

Client Categorization Under PMLA LOW RISK MEDIUM RISK HIGH RISK

Documents Verified with Originals / Client Interviewed By / In-person Verification Done By	
Name of Employee	
Employee Code	
Designation of Employee	
Date	
Signature	

I / We undertake that we have made the client aware of 'Policies and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policies and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website www.nx-block.com for the information of the clients

Signature of the Authorised Signatory

Date:

Seal/Stamp of the stock broker

FATCA & CRS DECLARATION - INDIVIDUAL

PAN Trading

Name

Place of Birth Country of Birth

Nationality

Annual Income Below Rs. 1 Lack Rs. 1 Lack to 5 Lac Rs. 5 Lack to 5 Lac0
 Rs. 10 Lack to 25 Lac Rs. 25 Lack to 1 Crore > 1 Crore

Net Worth **Amount Rs.** Net Worth as on
(Net worth should not be older than 1 years)

Occupational Details Business Private Sector Professional Government Service Public Sector
 Agriculturist Housewife Student Retired Forex Dealer Others

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

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

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

Sr. No.	Country	Tax Identification Number	Identification Type <i>(TIN or Other, Please specify)</i>
1.			
2.			
3.			

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform NX Block Trades Private Limited for any modification to this information promptly. I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of information (AEOI).



.....
 Client Signature

Place:

Date:

For Investor convenience, NX Block Trades Private Limited collecting this mandatory information for updating across all Group Companies of NX Block Trades Private Limited whether you are already an investor or would become an investor in future. Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest NX Block Trades Private Limited branch or you can dispatch the hard copy to -



NX Block Trades Private Limited
 5th Floor, Urmila Business Park, A95B,
 Sector-136, Noida, Uttar Pradesh-201304
 Tele No. 0120-3635930

• For Detail Terms & Conditions please visit www.nx-block.com - Download section.



FATCA & CRS DECLARATION - NON INDIVIDUAL

PAN Trading

Name

please tick the applicable tax resident declaration -

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

(If yes, please provide country/ies in which the entity is a resident for tax purpose and the associated Tax ID number below)

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

In case tax Identification Number is not available, kindly provide its functional equivalent.

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

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

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

1.	We are a , Financial Institution <input type="checkbox"/> (Refer 1 of Part C) or Direct reporting NFE (Refer 3 (vii) of Part C) Please tick as appropriate <input type="checkbox"/>	GIIN <input style="width: 100%;" type="text"/> Note: If you do not have a GIIN but you are sponsored by another entity, provide your sponsor's GIIN above and indicate your sponsor name below Name of sponsoring entity <input type="checkbox"/> Applied for <input type="checkbox"/> Not obtained - Non- participating FI <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input type="text"/> (Refer I A of Par C)
	GIIN not available (please tick as applicable)	

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

1.	Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities) (Refer 2a of Part C)	Yes <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of Stock Exchange
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)	Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company Nature of relation: <input type="checkbox"/> Subsidiary of the listed company or <input type="checkbox"/> Controlled by a listed company Name of stock exchange
3.	Is the Entity an active NFE (Refer 2c of Part C)	Yes <input type="checkbox"/> Nature of Business Please specify the sub-category of Active NFE <input type="checkbox"/> (mention code - refer 2c of Part C)
4.	Is the Entity a passive NFE (Refer 3(ii) of Part C)	Yes <input type="checkbox"/> Nature of Business

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

Category (Please tick applicable category): Unlisted Company Partnership Firm Limited Liability partnership Company
 Unincorporated association/body of individuals Public Charitable Trust Religious Trust Private Trust
 Others (please specify

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency /citizenship and ALL Tax Identification
 Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)
 Over-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E
 (Refer 3 (vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Par C)			
Country of Tax residency*			
PAN*			
Address	Zip <input type="text"/> State: Country:	Zip <input type="text"/> State: Country:	Zip <input type="text"/> State: Country:
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office
Tax ID [%]			
Tax ID Type			
City of Birth			
Country of Birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth			
Percentage of Holding (%) [§]			

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

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

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

§ Attach valid documentary proof like shareholding pattern duly self attested by Authorized Signatory / Company Secretary

DECLARATION

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

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



.....
Client Signature

Place:

Date:

For Investor convenience, NX Block Trades Private Limited collecting this mandatory information for updating across all Group Companies of NX Block Trades Private Limited whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest NX Block Trades Private Limited branch or you can dispatch the hard copy to -



NX Block Trades Private Limited

5th Floor, Urmila Business Park, A95B, Sector-136, Noida, Uttar Pradesh-201304 | Tele No. 0120-3635930

• For Detail Terms & Conditions please visit www.nx-block.com - Download section.



POLICIES AND PROCEDURES

A) REFUSAL / RESTRICTIONS ON ORDERS IN ILLIQUID CONTRACTS / PENNY STOCKS

1. (i) The term 'Illiquid Contract' as used here would mean and imply a contract which cannot be easily sold or converted to cash quickly at the prevailing market price. The 'Illiquid Contract' for this purpose would include those having very wide bid-ask spread. For example illiquid options have very low or no open interest. A client while selling an 'Illiquid Contract' might have to sell it at a discount instead of at / near the market price. Because of this, holders of these 'Illiquid Contract' may not be able to dispose of them at a fair price in the market and may be forced to hold on to such 'Illiquid Contract' until they expire.
- (ii) Penny stocks' as used here essentially means such securities which have low liquidity. These are usually associated with small companies and trade infrequently meaning they have a lack of liquidity or ready buyers in the marketplace. As a result, clients may find it difficult to sell such a security since there may not be any buyers at that time. Because of the low liquidity, clients might have difficulty finding a price that accurately reflects the market. 'Penny Stocks' are generally considered highly risky due to their lack of liquidity, wide bid-ask spreads or price quotes etc. In other words, investors could lose a sizable amount or all of their investment. Some categories of securities which may qualify for inclusion in umbrella term 'Penny Stock' as used here may include securities in Z category, Trade to Trade Settlement or TS category, the securities which are included in the list of illiquid scrips by the exchange/s or any other scrip which broker deems fit for the purpose of putting trading restriction.
- (iii) Illiquid contracts / Penny Stocks may be exposed to price rigging, artificial liquidity or manipulated prices or cross/synchronized trading and other market manipulative activities. Broker is required by exchanges to have proper surveillance and monitoring mechanism on the trading activities of its clients, particularly in 'Penny stocks and Illiquid Contracts. Further the broker also attempts to prevent / reduce the chances of its clients from getting exposed to market manipulations/ losses. Therefore, the broker either disallows any orders / trading in Illiquid Contracts / Penny Stocks or imposes restriction on trading in the same. These restrictions may include but are not limited to the price, quantity or mode of placement of orders. Thus the broker may disallow/restrict certain contracts/ scrips from trading on its online trading facility or through Authorized Person or through branch trading terminals. In such case, client may be allowed to place the orders subject to certain restrictions, through broker's corporate/ head office/ designated trading desk only. Under these restrictions the broker may reject the orders and/or put price bands to discourage trades getting executed at unrealistic prices and broker shall not be liable for any loss arising out of non acceptance or rejection of the clients' orders in Illiquid Contracts/ Penny Stocks.
- (iv) Where a client finds a certain contract / security missing from the list of contracts/ securities available for/from online trading application, the client should check with broker's relationship manager/ dealer/ customer care executive about any trading restriction on such contract/security.

B) SETTING UP CLIENT'S EXPOSURE LIMITS AND CONDITIONS UNDER WHICH A CLIENT MAY NOT TAKE FURTHER POSITION AND CONSEQUENCES OF LIMIT VIOLATIONS BY CLIENT.

1. The broker sets client's exposure limits inter-alia based on availability of margin as required by the exchanges subject to any higher requirements which broker may impose at its discretion based on broker's risk perception which may vary from client to client. The client is not entitled to trade without adequate margin and that it shall be client's responsibility to ascertain beforehand the margin requirements for client's orders / trades /deals and to ensure that the required margin is made available to the broker in such form and manner as may be required by the broker. If the client's order is executed despite a shortfall in the available margin due to any reason(s) whatsoever including but not limited to system or other technical/human error, margin requirement being enhanced by clearing corporation/ stock exchange etc. the client shall make up the shortfall suo moto immediately, whether or not the broker intimates such short fall in the margin to the client. The client shall also pay the shortfall in margin created due to square off by client of only one leg of hedged position(s) leaving the other leg standing, which would lead to either requirement of margin or of higher margin, and the client shall bring in the margin required suo moto immediately whether or not the broker intimates such margin requirement to the client (for clarity it may be noted that margin includes peak margin wherever applicable as per context in this entire document). Client may not be permitted to take further positions if there exists margin shortfall in the client account and/or the Positions of client which are without adequate margin may be closed out by the broker without notice and loss if any shall be borne by the client.
2. The client is informed that as per regulatory requirements, the proprietary margin of the broker is counted towards/ blocked against client exposure which is above 90% of the total margin of the client. Such counting/ blocking of proprietary margin of broker towards client trades implies a cost of capital and a loss of opportunity to do proprietary

trading by the broker. Therefore, the client is strongly advised that he should place orders in such a manner that the margin usage for his trades remains at or below 90 % of his total available margin at all times, meaning thereby that he should place orders in such a manner that the margin requirement (including peak margin requirement) even after any recalculation post execution of the order (i.e. post trade) should be equal to or less than 90% of client's margin. In the event(s) of the client not limiting his exposure to 90% of his total margin, the broker shall be entitled to charge interest and cost of opportunity lost at the rate of 1.25% per day (or any other rate under intimation to client) for client exposure beyond the margin provided by the client.

3. The broker is entitled to vary the form i.e., the replacement of the margin / collateral in one form with the margin / collateral in some other form (for example requiring margin in the form of cash instead of securities) &/or vary the quantum &/or percentage of the margin/collateral required to be deposited / made available, from time to time. The margin /collateral deposited/made available by the client to the broker are not eligible for any interest unless specifically agreed to.
4. In addition to exposure limits based on margin, the broker may from time to time impose and vary other form of limits on the orders that the client can place through the broker's trading system. Such limits may include but not be limited to those on turnover, the number, value and/or kind of securities in respect of which orders can be placed etc. The client is made aware that the broker may need to vary or reduce the limits or impose new limits urgently within market hours without prior notice, due to dynamic nature of securities markets, due to which the broker's risk perception may change. Limits may also change due to other factors considered relevant by the broker including but not limited to limits imposed by exchanges / regulatory direction on to broker itself (such as broker level/ market level limits in security and/ or quantity specific / volume specific exposures limits etc.). The broker shall not be responsible for any losses caused due to any variation, reduction or imposition of limits on exposure available to client which may effect the client's ability to route any order through the broker's trading system. Further the broker may at any time, at its sole discretion and without prior notice subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / collateral or the order being outside the limits set by broker / exchange/ regulator or due to any other reasons which the broker may deem appropriate in the circumstances. The losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.
5. For the purposes of margin/ exposure limits, the broker is entitled to include /appropriate any /all pay out of funds towards margin/exposure limits without requiring specific authorizations for each pay out. The broker is entitled to transfer funds from client's account for one exchange & / or one segment of an exchange to client's account for another exchange & / or another segment of the same /different exchange whenever applicable and found necessary by the broker. The client is made aware that the broker may treat / adjust client's margin / funds lying in one exchange & / or one segment of the exchange / towards the margin / pay in requirements of another exchange & / or another segment of the exchange.
6. Client should note that the risk management system policy (RMS policy) of the broker requires each client to ensure satisfaction of all regulatory requirements as to provision of margin/ collateral / pay-in obligations by the clients. Clients should note that subject to foregoing, the risk perception of the broker may vary across clients and / or category of clients (such as on-line clients and off-line clients). The difference in risk perception arises due to various reasons including but not limited to factors such as history of association with the broker as a client, previous payment record, adherence to commitments towards payments made earlier, the networth and income levels of the client and source of income etc. Without limiting the general application of the foregoing principles some examples where there may exist variations between clients / set of clients are given below. These are examples only and some variations may emerge at a later date given the time/ place/ client specific scenarios all of which can not be foreseen and enumerated.
 - (1) Not allowing a client or set of clients to trade in some or all of the illiquid contracts / penny stocks, T2T, Z category and similar contracts/ stocks on temporary or permanent basis and/ or limiting the exposure (by value or quantity) of the client or set of clients to certain securities/ contracts which broker may determine in its absolute discretion to be carrying higher risk, including risk of manipulation of prices etc.
 - (2) Provision of exposure / margin only after cheque/demand draft etc. has actually been cleared and funds received by the broker in its account. And the exposure / margin may be granted only on the next trading day from the day when clear balances are made available in the broker's account by the client depending upon time when availability of clear funds in broker's account gets confirmed by the bank and need of time to make entries in RMS system/software.
 - (3) The compulsory square-off times for intra-day and/or expiry day may be enforced differently between clients based on broker's own risk perception in regards to the ability of client to ensure square-off and/ or bear the losses. However, no client position shall be squared off before the threshold time lines stipulated in the RMS policy and/ or



'Policies and Procedures' document of the broker, provided however that such open positions of the client should not breach some other relevant threshold/ limit prior to the compulsory square-off times for intra-day and/or expiry day. For clarity, one example is being cited. Let the compulsory square-off times for intra-day and/or expiry day be 2 pm, and the minimum margin required from client be 50% (the actual times/ margin % are likely to be different from these) on this day. In such a scenario if the available margin of the client reaches 40% at 11 am, then even though the time line for auto square off (square off by broker) is 2 pm, the broker may square off the position at 11 am when the client position ceases to have minimum margin of 50% (margin would include mark to market or peak margin etc. as may be relevant).

7. It is clearly informed to client that he must fulfill all RMS policy requirements as applicable to him specifically / on individual basis at all times without seeking/ claiming parity with any other client(s) or set/category of clients, say for example parity with off-line/ on-line clients etc. Client is not entitled to claim continuation of any facility/ threshold/ limit variation as a matter of right, even if client has been granted facility/ threshold/ limit variation on earlier occasions, the same may be changed/ varied / withdrawn by the broker at its discretion without notice. Client shall not be entitled to claim for any actual or theoretical losses including loss of opportunity/ potential profit on account of any facility/ threshold/ limit variation not made available to client and/or withdrawn from client.
8. All the policies of the broker, including the RMS policy may change over time due to dynamic nature of securities market, issuance of circulars/ directions by exchanges/ SEBI and other statutory/government authorities. Therefore the client should use the latest versions of the policies of the broker, including the RMS policy which are made available at the official website of the broker and not depend on the set of policies of the broker.

C. THE RIGHT TO SELL CLIENTS' SECURITIES OR CLOSE CLIENTS' POSITIONS, WITHOUT GIVING NOTICE TO THE CLIENT, ON ACCOUNT OF NON-PAYMENT OF CLIENT'S DUES

1. The broker has the right but not the obligation, to cancel any/all pending orders and to sell/close/liquidate any/all open positions at the pre-defined square off time or when Mark to Market (M-T-M) reaches or crosses stipulated margin threshold/limit, whichever is earlier. The broker will have sole discretion to decide the required/ stipulated margin percentage depending upon the market condition. In the event of such square off, the client shall bear all the losses. In case open position gets converted into delivery due to non square off because of any reason whatsoever, the client shall provide securities/funds to fulfil the pay-in obligation failing which the client will have to face auctions or internal close outs. Without prejudice to the foregoing, the client shall also be solely liable for all and any penalties and charges levied by the exchange (s)/ Clearing Corporations.

The client is required to maintain a regular watch on his account and ensure payment of 'Client's Dues' well before the due dates and time (term 'Client Dues', has been defined / explained at sub-clause 2 of clause C herein below). For ensuring timely payment of Client Dues, the client should inter-alia peruse various documents/ reports provided by the broker including but are not limited to contract notes, margin reports, account statements etc. as also reports and data/ information made available to the client through the log – in to the web portal of the broker. Client should not let his account be in debit and ensure complete payment of all margins and settlement obligations well before required date and time failing which the broker may sell client's securities or close client's positions, without giving notice. Client is informed that due to volatility / sharp change in prices in the market, client's positions may suddenly require client to provide more margin even during the market hours on immediate basis. If the client account is in debit and/ or margin is inadequate and/or additional margin requirement is not fulfilled by the client, the broker may sell client's securities or close client's positions, without giving notice. Client should note that any loss or profit on account of sale of client's securities or close out of client's positions by the broker shall borne by the client.

2. 'Client's Dues' shall include all payments of funds or delivery of securities required to be made by the client to the broker. 'Client's Dues' shall include but not be limited to margin, securities and funds pay-in obligations, brokerage, product/ scheme specific fees and all other charges as may be applicable to the client's account such as fee/charges for research reports, offline orders, software, depository services, dishonour of cheques, demand draft issuance, incidental expenses such as NEFT/RTGS, postage, courier SMS etc.. 'Client's Dues' shall also include taxes, duties, statutory levies including STT/ GST/ exchange / Securities and Exchange Board of India (SEBI) turnover fee etc. imposed by any authority including but not limited to the exchanges (including any amount due on account of reassessment / backlogs etc.). Payment for 'Client's Dues' should be made by the client in the designated centralized banking and securities handling depository accounts of the broker.
3. The broker is entitled to prescribe/ vary the date and time by which the pay-in of margin / funds /securities is to be made available and the broker may refuse to accept or account for/ give credit for any payments after such deadline expires.
4. The broker shall be at liberty to give the benefit of funds / securities provided by client as margin/ pay-in only after such

funds / securities are actually credited by bank/ depository in the bank/ depository account of the broker.

5. Where the margin is made available by way of securities or any other property, the broker is empowered to decline its acceptance as margin & / or to accept it at such reduced value as the broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the broker may deem fit in its absolute discretion.
6. If the client gives orders / trades in anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange/clearing corporation or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities / funds for pay in for any reason whatsoever including but not limited to any delays / shortages at the exchange or broker level / non release of margin by the broker etc., the client may suffer auctions / square off / closing outs etc. without notice, and the losses if any due to the same shall be solely to the account of the client and the client shall have no recourse against the broker for the same.
7. Broker may create margin pledge and/or liquidate all or any of the securities lying in the demat account of the client in case of any margin requirement and/ or to settle the client's dues arising from time to time. Broker shall accept securities as collateral / margin, in accordance with the company's risk management system (RMS) policy and prevalent exchange/SEBI regulations. In case the client has securities lying in the demat account, same shall not be treated as margin unless client marks margin pledge in favour of broker against the same. Client is required to keep themselves updated with the RMS policy which may be published and updated by broker on its website from time to time

D. POLICY ON CLIENT UNPAID SECURITIES (T5 DEBIT)

1. In case of clear balance in client's account the securities purchased by client will be transferred to client's demat account on the settlement day. If client does not have a clear balance in client's account, then broker may sell client securities within 5 trading days from the date of payout or as per risk management procedures/ system of broker, whichever is applicable / triggered earlier. To avoid selling of securities, client must maintain sufficient credit balance in the client's trading account to ensure full payment of securities purchased.
2. In case the client has not paid the total amount due towards the securities purchased (including existing debit balance in running account), the broker will transfer such securities to Client's Demat account and the same will be marked as pledge in favour of Member in his "TM/CM Client Unpaid Securities Pledgee Account (CUSPA)". Once the dues in the client's account are cleared, the securities will be marked as free balance in the client's demat account. In case of non-payment of dues, securities may be disposed-off within 5 trading days from the date of pay-out and any excess securities, would be transferred to the client's demat account.
3. If client's securities are sold/squared off due to ageing debit (square off within 5 trading days from the date of pay-out), then client will not be able to buy the same scrip on the same day unless the debit is cleared by maintaining a clear balance.

E. SHORTAGES IN OBLIGATIONS ARISING OUT OF INTERNAL NETTING OF TRADES

1. The broker shall not be obliged to deliver any securities/commodities or pay any money to the client unless and until the same has been received by the broker from the exchange/ the clearing corporation/ clearing house or other company or entity liable to make the payment and the client's obligations have been first fulfilled. Further, the policy and procedure for settlement of shortages in obligations arising out of internal netting of trades as currently in force are given below. It should be noted that the settlement rates/penalties/ auction rates etc. are always subject to directions/circulars issued by stock exchanges/ SEBI and may therefore be higher/ different from those given below.
 - (1) The short delivering seller client is debited by a provisional amount (short quantity * valuation price). Valuation price for this purpose is determined as closing rate of day prior to Pay-in/ Pay-out Day. The securities delivered short are purchased from market on Auction Day (The Auction Day here means and implies the Auction Day for the relevant settlement on the exchange) and the Auction Amount to be debited to the short delivering seller client is higher of the purchase consideration (inclusive of all statutory taxes & levies) or the Closing price on the auction day along with reversal entry of provisionally amount debited earlier. Also, on specific written request by the short seller to email ID ig@nx-block.com the broker may allow the Short Seller to purchase the undelivered security(ies) if there is any client to client obligation. Such written request should be made by the client prior to pay-in day. In absence of any such written request to designated email ID, normal procedure shall be applied.
 - (2) If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the close out rate which is the higher of the highest price of the security(ies) from the date of sale to the Auction Day on exchange or 20% above the closing price on the Auction Day on the Exchange.
 - (3) In cases of securities having corporate actions all cases of short delivery of cum corporate benefit transactions which cannot be auctioned on cum basis or where the cum basis auction Pay-out is after the book closure /record date,



would be compulsorily closed out at the rate which is the higher of the highest price of the security from the date of sale to the Auction Day on exchange or 20% above the closing price on the Auction Day on the Exchange.

- (4) Penalty on seller in case of delivery default (default in delivery against open position at expiry in case of compulsory delivery contracts of commodities or , default in delivery after giving intention for delivery of commodities) shall be as follows:
- (a) Futures contracts on agri-commodities: 4% of Settlement Price + replacement cost (difference between settlement price and average of three highest of the last spot prices of 5 succeeding days after the commodity payout date, if the average price so determined is higher than Settlement Price, else this Component will be zero.)
 - (b) Futures contracts on non-agri commodities: 3% of Settlement Price + replacement cost (difference between settlement price and higher of the last spot prices on the commodity pay-out date and the following day, if the spot price so arrived is higher than Settlement Price, else this component will be zero.)
 - (c) In case the seller defaults in delivery, the buyer who was entitled to receive delivery will be credited with a predefined percentage of the settlement price+replacement cost.

F. APPLICABLE BROKERAGE RATE

1. Brokerage will be charged to the client based on the brokerage rates specified at the time of account opening inter-alia detailed in Tariff Sheet or as per the product/scheme opted by the client from time to time. The client shall pay to the broker in addition to brokerage and product/ scheme specific charges and such other fees and charges as may be applicable to the client's account including but not limited to charges for research reports, offline orders, software, depository services, dishonour of cheques, demand draft issuance, incidental expenses such as NEFT/RTGS postage, courier SMS etc.. Client shall also pay taxes, duties, statutory levies including STT/ GST/ exchange / Securities and Exchange Board of India (SEBI) turnover fee etc. imposed by any authority including but not limited to the exchanges (including any amount due on account of reassessment / backlogs etc.). The client shall pay these through the running account or other suitable methods(s) as may be required by the broker. Rates for brokerage/ fees/ charges including but not limited to those mentioned above and any of those mentioned in tariff Sheet/ schedule of charges may be revised at the sole discretion of broker from time to time and such changes shall be communicated to the client on best effort basis through any one of the communication methods(s) detailed under clause/sub-clause titled "MODES OF COMMUNICATION BY BROKER" of this document. Continued usage by client of broking and other services with changed rates shall mean and imply acceptance of the same by the client. The broker may also deduct and appropriate any of the aforesaid charges/ brokerage/fee from the running account of the client and/or any amount payable to the client.

G. IMPOSITION OF PENALTY/DELAYED PAYMENT CHARGES

1. Client should ensure full payment, before due date and time, of all 'Client Dues' defined at sub-clause 2 of clause C above. Client should not keep its account in debit. If there is debit balance in client account at any time, broker may levy interest on such debit balance at a rate upto 24% per annum calculated on daily basis during the continuation of any debit balance. Interest may be calculated considering balance lying across all exchange and segment on any given day. As the cost of funds to the broker varies depending on economic conditions the rate may change from time to time and will be communicated on best effort basis through any one or more modes of communications enumerated under clause/sub-clause titled "MODES OF COMMUNICATION BY BROKER" of this document. Continued usage of services of the broker by the client shall mean and be deemed to be acceptance of revised rate(s) of interest.
2. The broker reserves the right to debit client's ledger for any penal charges that may be charged by the exchanges/ clearing corporations/depositories/ SEBI or any other government / statutory authority for any default/ violation of exchange/clearing corporation/depositories/SEBI rules/regulations/ bye laws/ circular/ guidelines / requirements due to any act(s) of omission or commission directly/indirectly on the part of the client. This may include penalty for short delivery of securities, shortfall in margin payments (imposed by exchange / clearing corporation due to any acts of omission/ commission by the client including but not limited to false reporting to the broker for margin or other purposes that a cheque/ demand draft etc. has been deposited by it in broker's bank account without depositing the same or falsely stating amount/ date / time of deposit of such cheque/ demand draft etc. Similarly delivery of cheque to broker and/ or deposit of cheque which is used to give interim benefit for margin/ pay-in and which is subsequently dishonoured by the bank of client upon presentation for payment. In such and similar situations the exchange / clearing corporations would find the actual margin / pay-in short and impose penalties, or the broker may impose penalties for such actions of client, which the client would have to bear. For clarity it may be noted that margin includes peak margin wherever applicable as per context in this entire document), Penalties will also include but be not limited to penalty(ies) for violation of client level position limits, client code modification etc.

3. Penalties may also be imposed on account of margin shortage where the client squares off only one leg of a position leaving the other leg standing, which would lead to either requirement of margin or of higher margin and such required margin is not deposited by the client before the date and time it is required. Penalties may also be imposed where the client positions require higher margin due to enhancement by exchange(s)/ clearing corporation(s) and/or the broker and such enhanced margin is not deposited by the client before the date and time it is required. The broker may also impose penalties for any orders / trades / deals / actions of the client which are contrary to these Policies and Procedures / rules / regulations / bye laws of the exchanges / SEBI or any other law for the time being in force, at such rates and in such form as it may deem fit and the penalty may include keeping in abeyance the payout of funds and/or securities till such time that the client has been able to clearly demonstrate that his actions were not malafide in any manner. Further, the broker shall have the right to recover such charges / penalties like any other dues payable by the client and may also recover the same by selling the client's securities.
4. The broker shall make efforts upon client request or suo moto to make Early Pay-In (EPI) of securities in order to meet the margin requirements and settlement obligations etc for and on behalf of client out of securities lying in client's demat account with POA in favour of the broker or from the pool account as may be applicable. However, the client shall be solely liable for all the losses / penalties / charges etc. levied by the exchange(s)/clearing corporation(s) on account of non-execution/delay in execution of the EPI transactions including any losses due to any increase in margin requirements due to non-execution/delay in execution of EPI transactions.
5. In pursuance of SEBI directions, clients are required to ensure to maintain at least 50% of the total collateral in the form of cash or cash equivalents. In the event the cash-equivalent collateral of proprietary account of broker is considered for a client for the purpose of ensuring minimum 50% cash-equivalent collateral, broker shall be entitled to charge interest on the shortfall amount upto the rate of 24 % per annum calculated on daily basis.
6. It is further clarified that situation(s) may arise where the overall or broker/ clearing member level limit prescribed by the clearing corporation/ stock exchange for acceptance of particular security (ies) as collateral is reached. In such a situation the benefit made available to the client for such securities placed by client as collateral shall be reduced in line with the reduced benefit granted to the broker/ clearing member by the Stock Exchange / Clearing Corporation.

H. TEMPORARILY SUSPENDING OR CLOSING A CLIENT'S ACCOUNT AT THE CLIENT'S REQUEST

1. The client may request the broker to temporarily suspend /or close client's account and the broker may do so subject to client accepting / adhering to pre-conditions for suspension/ closure including but not limited to settlement of account and/ or other obligation by the client.

I. DEREGISTERING A CLIENT

1. Notwithstanding anything to the contrary stated in the client broker documents, the broker shall be entitled to deregister/suspend the account of client with immediate effect in any or more of the following circumstances:
 - (1) If the actions of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal /proper functioning of the market, either alone or in conjunction with others;
 - (2) If, in the opinion of the broker, the client has committed a crime / fraud or has acted in contradiction to terms of this or any other broker-client document or / is likely to evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the broker so apprehends;
 - (3) If there is any commencement of a legal process against the client under any law in force wherein the client is accused of criminal acts and/or acts of moral turpitude;
 - (4) On the death/lunacy or other disability of the client;
 - (5) If a receiver, administrator or liquidator has been appointed or allowed to be appointed for all or any part of the undertaking of the client;
 - (6) If the client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or is referred to National Company Law Tribunal (NCLT) / National Company Law Appellate Tribunal (NCLAT) as per provisions of Insolvency and Bankruptcy Code.
 - (7) If the client being a partnership firm, has any steps taken by the client and/ or its partners for dissolution of the partnership;
 - (8) If the client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
 - (9) If the client has made any material misrepresentation of facts.
 - (10) If there is reasonable apprehension that the client is unable to pay its debts or the client has admitted its inability to pay its debts, as they become payable;



- (11) If the client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the broker;
- (12) If the client is in breach of any term, condition or covenant with the broker.
- (13) If any covenant or warranty of the client is incorrect or untrue in any material respect;

J. OTHER SIGNIFICANT POLICIES AND PROCEDURES

1. Proprietary Trading

The broker does undertake proprietary trading

2. Trading Related

- (1) The relationship being established between the client and the broker is that of principal and agent and the broker shall be the agent of the client. The client is required to make independent enquiries and satisfy himself that he is entitled to enter into the broker client relationship with the broker in the jurisdiction in which the client resides.
- (2) No employee, Authorised Person, director or any other agent of the broker is authorised to give any assurances of profits, or to manage the account of the client in any discretionary manner. The client must make his own decisions regarding suitability of orders/investments and if need be rely upon his own independent advisers whether in matters of orders/trades or in the matters relating to taxation etc. Accordingly the client should not enter into any personal/private mutual understanding with any employee, Authorised Person, director or any other agent of the broker.
- (3) The client may place orders verbally (by visiting the branch or through telephone), through e-mail, and /or through internet based trading terminal/ mobile trading facility etc. which may be provided as per the requirement of the client subject to payment of charges. In order to avoid any misinterpretation which could emanate from verbal orders, the client should consider entering his orders directly into the trading system by use of web based or mobile based application which are provided by the broker subject to charges. Where the client has authorised any other person to give orders on client's behalf, the orders given by such authorised representative shall be binding on the client. Also the client may place orders in writing as per the format available at broker's website, so as to avoid any future disputes.
- (4) Client is made aware that the broker would assume an order coming from registered mobile and/or landline and/or / email address to be genuine and authentic order or direction of the client or that of the client's authorised representative. Broker can not identify the voice on the other end of the mobile or landline phone as belonging to the client or otherwise. Therefore The client shall ensure that he is the only user of the telephone number (mobile and/or landline)/ email address and keep safe and not disclose to any one the tele identification number and/or password if applicable. No claim therefore shall lie against the broker on the ground that the person giving the orders from registered mobile and/or landline numbers/ registered email address was either not the client or did not have authority to give orders on behalf of the client (in the case of corporate clients etc.).
- (5) The broker will assume order which could be, place, in the form of a) Physical record written & signed by client, b) Telephone recording, c) Email from authorized email Id, d) Trade by online Platform , e) Record messages through mobile phones, f) Any other legally verifiable record. The Broker will maintain the record/ keeping evidence above for a minimum period for which will be directed by the Exchange/SEBI as notified time to time.
- (6) The broker allows internet based trading (IBT) / security trading through wireless technology (STWT) through various exchange approved applications/software/mobile applications/web-browser or Algo Based Trading Software/applications/systems. Client is made aware that responsibility of broker is limited to ensuring robustness of the trading systems in normal circumstances, and there is no guarantee/warranty that any such trading software/applications/systems are capable of functioning in abnormal circumstances including unprecedented trading volume / communication failures etc. or are bug/glitch free and the client may on rare occasion suffer losses which client alone shall bear and this risk should be kept in mind by the client while dealing through the broker.
- (7) Before using the website and/ or online trading facility (including mobile based facility) the client must ensure that he has all the necessary and compatible infrastructure ready at his end for the purpose of accessing the website of the broker or availing Wireless technology/Internet/ smart order services provided by the broker. The broker will not be under any obligation to assist the client in installing the required infrastructure or obtaining the necessary equipment, permits and clearances to establish connectivity or linkages to the website of the broker and trade on/ through it.
- (8) The client is made aware that the broker has the right to suspend operation of the website and online systems at any time (including when in the opinion of the broker, some threat is posed to any system or part of any system). The broker may also suspend the operation of website and online systems at regular intervals for periodic maintenance and administration tasks. If online system is unavailable the client can avail Call-And-Trade facility during normal

trading hours.

- (9) The client is made aware that the broker has the absolute discretion to amend or supplement any of wireless technology/ Internet/smart order usage terms at any time after reasonable prior notice for such changes by displaying them to the client on the broker's website and by any other modes of communication detailed/ enumerated under clause/sub-clause titled "MODES OF COMMUNICATION BY BROKER" of this document. By using the services under revised terms, the client shall be deemed to have accepted the changed terms of usage.
- (10) The client stands informed that the broker owns / has a licence in and/or possesses copyrights, database rights and all similar rights in all material / data on /in broker's website and also upon all trademarks and other materials used on the broker's website. No information / data on broker's website may be reproduced, distributed, transmitted to any person or incorporated into any other document without broker's prior written authorisation. The client shall use real-time quotes received on the website of the broker only for the client's personal use/trading and shall not furnish such data to any other person or entity nor use it for any illegal trading set up (such as 'dabba trading'). Client is not authorised to give to any third party access to any materials/ data on broker's website or mobile trading applications etc. or to make copies of any such materials for any purpose what so ever. The client shall also not delete copyright or other intellectual property rights notices from printouts of electronically accessed materials from the broker's website.
- (11) The broker provides electronic password generation facility to its clients, initial password and later as well, and the client should using this facility generate / change password for his account regularly for safety. The client is made aware that the broker shall not be responsible for any delay in receipt of password from the system by the client. The client shall be solely responsible for maintaining secrecy of the password, so generated / changed, and the broker in no way shall be responsible for the misuse of the said password by any person including but not limited to any person authorised by the client or entrusted by the client with client's password.
- (12) The client shall upgrade to the newer versions of trading software/back-office software etc. on account of changes made by the broker and/or any other service provider like depositories/banks /exchanges/ clearing corporations etc.
- (13) Where prima-facie it appears that trading system/ IBT interface / mobile trading application etc. is/are suffering from some problems such as incorrect positions being shown etc. the client should refrain from trading and immediately bring the problem to the notice of the broker and trade/act only after the problem has been resolved. If broker or any other clients suffer on account of actions of the client in such situations the client will be liable to make good the losses suffered by broker or other clients.
- (14) Orders given/ placed by client may or may not result in trades and the client should continuously monitor the final outcome of the order. Where orders have resulted in trades the same may or may not result in delivery and the client should continuously monitor his pay in / Pay-out obligations. The client should note that orders given/ placed by client shall be subject to risk containment measures deployed by the broker or exchanges and may be refused or delayed in transmission to the exchange trading platform. The client shall not be entitled to claim any loss direct or indirect including but not limited to loss of profits/ opportunity etc. on account of any such refusal for entry/ delay in transmission of orders as a consequence of risk containment measures deployed by the broker or exchanges.
- (15) Cancellation or modification of an order pursuant to the client's request is not guaranteed. The order will be cancelled or modified only if client's request for cancellation/ modification is received well before the original order has been executed. Market orders are likely to get immediately executed and may not get cancelled.
- (16) The client shall not be entitled to presume an order having been executed, cancelled or modified until a confirmation from the broker is received by the client. Due to technical and other factors the confirmation may not be immediately transmitted to or received by the client and such a delay shall not entitle the client to presume that the order has or has not been executed, cancelled or modified unless and until the broker has so confirmed through any of the methods enumerated/described under clause/sub-clause titled "MODES OF COMMUNICATION BY BROKER" of this document
- (17) In case of failure of internet based trading whether web or mobile based broker also offers Call and Trade services to the client. The client is requested to contact corporate office by disclosing proper identity.
- (18) Client is made aware that securities in Trade to Trade (T2T) segment can be sold only after the securities are available in client demat account. Intraday and Buy today sell tomorrow (BTST) etc. are not allowed in securities in T2T segment.
- (19) Client is made aware that there are significant risks associated with / arising out of trading in illiquid options and/or far months contracts and shall bear all consequences thereof if he chooses to trade in such contracts.
- (20) Client is also made aware that client will not be eligible to participate in buyback/takeovers etc. if client has sold the shares on or before the record date. Also the acceptance ratio in buyback/takeovers etc. is at the sole discretion of

issuer.

- (21) Client stands informed that on expiry day the client has to square off all open position(s) (except for those opted for physical settlement by client, if applicable) at least 4 (four) hours prior to the closing time for trading of the contract(s) on the relevant exchange (or such other time as prescribed by broker). If the client has not undertaken square off as stated above, the broker shall be entitled but not obliged to square off all such open positions on or after time as prescribed by the broker on expiry day irrespective of margin availability, and the losses if any due to square off or non square off shall be borne by the client alone.
- (22) Client is made aware that though the broker offers bidding facility for IPO/FPO etc. through its platform, the role of broker is only to facilitate and process the IPO/FPO and similar applications. The broker shall not be responsible / liable for any losses/damages/costs/opportunity losses of any nature whatsoever incurred by client due to processing or non-processing of the applications and allotment/non-allotment of shares due to any reason including but not limited to suspension/interruption/malfunction/technical glitch etc in broker/ exchange software / trading / bidding platform. Further broker shall not be liable to process/ assist the client for refund, unblocking etc. of IPO/FPO funds/ allotted shares.
- (23) The client stands informed that the broker may provide fundamental or technical research/ trading calls etc., on companies, industry, securities markets, and economy from time to time (collectively hereinafter referred to as 'research'). Client is informed that the 'research' provided is not an offer or a solicitation to buy any security and by sending the research, the broker or any of its officers, directors, personnel and employees shall not be liable for any loss, damage of any nature, including but not limited to direct, indirect, punitive, special, exemplary, consequential, as also any loss of profit in any way arising from the use of such research in any manner. The client is made aware that the investments discussed in the said material are general recommendations and may not be suitable for all investors. The client shall, therefore, before dealing and/or transacting in any of the products referred to in the research, make his/her/its own investigation and seek appropriate professional advice. The client shall be fully responsible/ liable for all decisions on investments /disinvestments taken by client on the basis of the research provided by the broker. Further, client should note that the broker may discontinue providing such research without notice and the broker shall have no responsibility to update any information provided to the client from time to time nor does the broker represent that the information provided in the research is/shall be complete. Further by providing such research, the broker is neither acting as a financial advisor / portfolio manager nor does the broker assumes any fiduciary duties. The research shall be provided to client on as is where is basis only for personal use and all rights in the same shall exclusively rest with the broker, and client is not entitled to share it with any third party whether for consideration or otherwise without a formal written authorisation by the broker. In the event of a breach of any of these conditions by the client, the broker shall be entitled to bring legal action against the client and claim damages or any other legal relief.
- (24) The broker issues contract notes with the Order number, Trade number, Trade time, Security/ Contract description, Quantity, Kind of security, Purchase / Sale rate, Brokerage, Net rate and Amount for the securities bought / sold.
- (25) The records /information as provided by the broker through contract notes, bills, statement of accounts, statement of margin etc. shall be the official records to determine the obligations of broker and the client. Printouts taken from trading system or any other downloads etc. which are taken by the client from trading system may not give the correct picture and therefore shall not be the official record which bind the broker and the client.
- (26) The client is made aware that as an additional service measure the broker provides online access to clients to its web portal for which client shall be / has been provided web login ID and password, upon log in, the client is able to go through entire records of trading, securities / funds holding and transactions as also contract note, bill and other details. Client can also download/print the same through this facility.
- (27) The client should review all information/documents, including but not limited to contract notes/ bills, sent by the broker and/or viewed in/ downloaded from the website of the broker by the client, immediately upon receipt/view/ download. Discrepancies / objections if any (including if any trades in the account are not as per client directions/ orders), must be informed to the broker by sending an e-mail to : compliance@nx-block.com preferably within 24 hours of issuance of contract note or digital contract note or receipt of any other document/ view/ download by the client. Client is forewarned that merely sending an email will not amount to acceptance of mistake / error by the broker unless so accepted after investigation by the broker's Compliance Officer and communicated to the client in writing by the Compliance Officer of the broker.
- (28) The client shall forthwith cease trading and inform the broker in the event the client becomes ineligible to deal with the broker on account of any court, exchange or regulatory action.
- (29) Information about default in payment/delivery and/or violation of laws/ regulations by a client may be brought to the

notice of third parties including but not limited to the exchanges/clearing corporations/credit rating agencies/ law enforcement agencies. In cases where the client is a corporate entity/partnership/proprietary firm/HUF or any other artificial legal entity, then the name(s) of director(s)/ promoter(s)/ partner(s)/proprietor/members of HUF may also be communicated as above.

- (30) The existence of broker client relationship does not imply that broker is liable to provide each and every service to the client, and some service(s) may not be provided in case the client does not fulfil the necessary pre-conditions for the same.
- (31) Where the client chooses to clear his trades through Professional Clearing Member (PCM) , then the broker shall revert such trades as are not confirmed by the PCM to the client who shall be then liable to not only pay all the margins on the same but to also settle the same.
- (32) In case where pay-out of funds/securities/commodities is given by broker to client but the exchange / clearing corporation /clearing house/depository/ counter party takes back such pay-out, then broker has the right to take back the same from client and client shall give back such funds and/or securities to broker immediately upon demand.
- (33) The client shall not work as a authorised person without prior registration with relevant registering authorities such as exchanges/SEBI.
- (34) The client shall also not deal through the broker on an exchange of which the client himself is a Member.

3. PAYMENT RELATED

- (1) The client is made aware that the broker maintains combined books of accounts and transfers the credit lying in any segments/exchange of the client's ledger to another ledger of the client maintained by the broker for different segments/exchanges as per requirement of funds. Further, the broker may consider the credit lying in ledger of any segment/exchange of the client as margin towards any position/exposure taken by the client in other segment / exchange. The client shall not be entitled to claim interest on margins provided by the client in the form of funds and or securities or on any credit lying in the account /ledger of the client.
- (2) The broker does not accept cash and in no event should the client make any payments to the broker, broker's employees, broker's authorised persons and/or any agent or officer of broker by cash.
- (3) The client must make payments from his own bank account mapped/ registered with the broker. The bank instrument must be drawn in favour of the broker only. The broker may demand a proof that the payments are being made by the client from his own account without which the broker may not give credit to the client. In case of Demand Drafts or any similar pre-funded instruments, following may be required:
 - (a) Certificate from the issuing bank on its letterhead or on a plain paper with the seal of the issuing bank.
 - (b) Certified copy of the requisition slip (portion which is retained by the bank) to issue the instrument.
 - (c) Certified copy of the passbook/bank statement for the account debited to issue the instrument. Please ensure that copy of the passbook/bank statement clearly reflects that amount has been debited for the purpose of issuing of prefunded instruments in favor of NX Block Trades Private Limited
 - (d) Authentication of the bank account-number debited and name of the account holder by the issuing bank on the reverse of the instrument.
- (4) The client should never leave/deliver any blank/partially filled instrument(s) such as cheques / depository instruction slips (DIS) etc. with/to the broker/broker's Directors, employees, authorised persons or any other agent of the broker, even if an officer/agent/ director of the broker suggests/advises to do so. The broker shall not be responsible for the misuse of such blank/partially filled cheques / depository instruction slips (DIS) etc.. Only fully filled (incapable of being misused) cheques / depository instruction slips (DIS) etc. may be delivered to the broker's officers designated for receipt of cheques / depository instruction slips (DIS) etc. for the purpose of pay-in etc.
- (5) The broker shall make delivery of funds/securities to the client only after the same has been received from the exchange/clearing corporation/clearing house /the delivering client.
- (6) **ELECTRONIC PAYMENT GATEWAY FOR NET BANKING SERVICES:** The broker may provide on its website access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from the client's bank account to the trading account of the client with the broker. The client stands informed that the broker is only providing access to the electronic fund transfer facility provided by the banker of the client through the broker's website by means of an interface and the broker is not liable or responsible for the proper functioning or otherwise of the Electronic Payment Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising there from. The client shall not be entitled to make the broker a party to any litigation, claim, dispute, difference or complaint that the client may initiate in respect of, arising out of or in connection with any transactions on the Electronic Payment Gateway. The broker expressly excludes liability for any loss



consequential, direct, indirect or damage or loss of profit, business, revenue, goodwill or anticipated savings which may arise due to use of the payment gateway services offered by such banks and used by the client. The client shall use the payment window / electronic payment gateway service at client's own risk. These risks would include but not be limited to the following risks:

- (a) Misuse of Password: if any third person obtains access to client password, such third person would be able to provide payment to the broker or may be third parties. Client therefore shall ensure that the terms and conditions applicable to the use of the password as contained in the Electronic Payment Gateway for Net Banking Terms and Conditions are complied with at all times.
 - (b) Internet Frauds: The Internet per se is susceptible to a number of frauds, misuse, hacking and other actions, which could affect payment instructions by the client or misuse thereof. The client shall therefore separately evaluate all risks arising out of the same, and use the payment gateway only if the client is ready and capable of bearing / managing the risks.
 - (c) Mistakes and Errors: The filling in of applicable data for transfer would require proper, accurate and complete details. For example, the client may be required to fill in the account number of the broker. In the event of any inaccuracy in this regard, the funds could be transferred to incorrect accounts and the broker may not be able to assist the client in recovery of such fund(s). The client shall therefore take all care to ensure that there are no mistakes and errors and that the information entered by the client is error free, accurate, proper and complete on each occasion of use. On the other hand in the event of client account with broker or bank receiving an incorrect credit by reason of a mistake committed by some third person, the broker or the bank shall be entitled to reverse the incorrect credit at any time whatsoever without the consent of the client. The client shall be liable and responsible to the broker and accede to and accept the broker's instructions for any unfair or unjust gain obtained by the client as a result of the same.
 - (d) Non-availability risk : Payment gateway may not be available due to link problems or the bank and / or the broker may suspend or terminate electronic payment gateway for net banking facilities without prior notice.
- (7) Broker is entitled to transfer funds to the client through Net Banking / EFT / RTGS / NEFT for the credit to bank account(s) of the client details of which are given by client to the broker. If required by the broker, the client shall also give a cancelled cheque leaf of client's designated bank account for this purpose. The client agrees that it shall not hold the broker liable if any fund is credited to wrong account(s) as a result of the client providing incorrect account details to the broker. The broker reserves the right to reject request of the client for electronic fund transfer or to discontinue the facility without assigning any reason. The client is made aware that the broker shall not be responsible for any delay / failure in transmission of electronic payout of funds due to any reason whatsoever and undertakes to not hold the broker liable in this regard.
- (8) The client is made aware that where client requires, that any funds provided/ belonging to client be converted / deployed in interest bearing instruments such as fixed deposits with the bank and/or further requires that such interest bearing instruments be placed as margin/ collateral/security with the broker and/or with the exchange and/or with the clearing corporations, the broker may do so entirely at the risk and cost of the client. Client should note that the interest if any which is received by the broker on such interest bearing instruments shall be credited to the running account of the client with the broker only upon actual receipt by the broker and after deduction of all costs and charges including the cost of creation of such interest bearing instruments and the taxes, levies and charges as may be levied on interest earned on such instruments. The client further stands informed, that reconciliation of interest received across clients/ broker's own fixed deposits etc. shall take time which may extend upto 30 days though efforts will be made by the broker to reconcile and transfer the interest into client's running account with broker earlier. Further, in the event client desires to withdraw any such instrument placed as margin/collaterals with broker/exchange /clearing corporation, the withdrawal shall be facilitated by the broker on best effort basis subject to the timelines and procedures prescribed by the exchanges /clearing corporations/broker as the case may be, provided further that withdrawal of the instrument shall be subject to it being free from any charge or usage such as being considered as margin/ collateral for the client by the exchanges / clearing corporations/ broker. Client is made aware that there are number of risks associated with creation and/or usage of interest bearing instruments such as fixed deposits with the bank for the purposes of providing collateral/ security by the client to the exchanges/ clearing corporations/ broker, which the client should carefully examine and be ready to bear. Some of the risks are:
- (a) The bank chosen by client for getting the interest bearing instruments such as fixed deposits created may suffer adverse financial circumstances (or 'fail' in common parlance) and the interest bearing instruments such as fixed deposits issued by such bank may lose value/ become incapable of liquidation/ converted to cash.
 - (b) The exchanges/clearing corporations may change their policies and stops accepting interest bearing instruments such as fixed deposits with the banks as margin/ collateral either completely or specifically from the bank from which the client has got created his interest bearing instruments such as fixed deposits.

4. CORPORATE ACTION

- (1) Client must monitor corporate actions on securities (shares/stocks etc.) belonging / purchased by client including when they are in the broker's demat account(s). Where securities of client are in a demat account of the broker , the broker shall not be responsible to apply for corporate benefit and/or participate in any corporate action on the securities of the client and the client should ensure to get his securities transferred well in time to client's own demat account (by making payment etc. for the same as may be required) so as to receive the corporate benefits and/or participate in corporate action.
- (2) Broker, in exceptional circumstances upon specific written request of the client may attempt to seek corporate benefits for and on behalf of the client, provided the request of client is received well in advance of applicable deadline and is accompanied with payment and/or other requirements necessary for making the application. Client is made aware that the application by the broker shall be without any warranty/guarantee that the corporate benefits shall be received by the client.
- (3) Client is further informed that application by the broker for corporate benefits may lead to receipt of lesser corporate benefits as the application by the broker may result in clubbing of quantities across clients and/or with broker's proprietary holdings leading to only proportionate allotment, which may be lesser than the benefits which client would be eligible to receive on client's individual application.
- (4) Client is also informed that under the current regulatory and procedural requirements the broker may not be able to help/ assist the client to apply for and receive corporate benefits on client's securities lying in the Client Unpaid Securities Account (CUSA). Such inability of broker to take action for and on behalf of client may also extend to corporate actions such as special settlement / buy back/ take over/ tender offer/ rights etc. Therefore the client should get his securities transferred to his own demat account before record date (by making payment etc. for the same as may be required) and apply himself for the corporate benefits and/or take action for special settlement / buy back/ take over/ tender offer/ rights etc..
- (5) The client is made aware that any securities of the client available to the broker as margin/ collateral and/or those securities which are received by the broker as part of pay-in/ pay out due from/to the client may receive dividends/ corporate benefits while they are in the depository account(s) of the broker. In such circumstances the dividends/ corporate benefits would come into the bank/depository account(s) of the broker. A distribution / release of such dividends/corporate benefits into the account of the client would require time consuming reconciliation between the various clients as also the proprietary holdings of the broker. This exercise has to be carefully executed because once the dividends/ corporate benefits are released into the accounts of respective clients the same cannot be easily retrieved. Therefore the outer limit for distribution of such dividends/corporate benefits into the accounts of clients is set at 30 days from the date of receipt of such dividends/corporate benefits into the account(s) of the broker.
- (6) The contract specifications may undergo changes because of corporate actions (such as securities split etc.) /directions by exchanges, and the client should actively monitor his open positions and take necessary actions to avoid any losses on account of any such changes.

5. GENERAL

- (1) Words and expressions which are used in this document, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws, Regulations and circulars of / issued by SEBI/ exchange/clearing corporations/government. Client is made aware that the terms and conditions of the applicable/ relevant Laws, Rules, Byelaws, Regulations and circulars prescribed by government, SEBI /exchanges/clearing corporations/statutory authorities are applicable to the client's dealing and relationship with the broker and these terms and conditions shall be read along with the terms and conditions of this 'Policies and Procedure' document where ever required and applicable to determine the rights and obligations of the client and broker. Without limiting the generality of the foregoing the terms of following SEBI/Exchange prescribed documents shall always be deemed to be part of this document namely 1. Rights and Obligations of Stock Brokers and Clients. 2. Risk Disclosure Document for Capital Market and Derivatives Segments. 3. Guidance Note- Do's and Don'ts for Trading on the Exchange(s) for Investors. Reference to exchange(s)/ stock exchange(s) in this Policies and Procedures document as also in all other broker-client documents shall include/ mean a reference to relevant clearing corporation where the context so requires.
- (2) **MODES OF COMMUNICATION BY BROKER**
 - (a) The broker may send various information including but not limited to documents, bills, contract notes, margin statements, statement of accounts etc., to the client through any one or more of the following means i.e. email, SMS, post, registered post, speed post, courier, whatsapp /telegram, voice mail, , telephone, messages on trading platform, through word of mouth by the agents of the broker, by displaying it on the website of the broker or making it

available as a download from the website of the broker, displaying it on the notice board of the branch, newspaper advertisements or if circumstances so require, by broadcast over radio/television. The responsibility of the broker to provide any information or document to the client shall be complete when the broker delivers such document/information into the hands or system of information/ document transmission service providers including but not limited to the internet service provider, SMS service provider, whatsapp , telegram , email services providers, courier service provider, postal department, etc. As the service providers for delivery of information to the client including but not limited to those listed above are independent of the broker the client shall not hold the broker responsible for delayed receipt / non-receipt of any information or document which the broker has sent through any service provider(s) including those listed above. Further, the client shall not be entitled to claim any direct or indirect losses or damages suffered by the client whether actual or as opportunity loss on account of non-receipt / delayed receipt of any information so sent by the broker through any service providers including but not limited to those listed above.

- (b) Client is made aware that broker does not take cognizance of any “out-of-office/out of station” or similar replies and emails to which such replies are sent by client shall be deemed to have been received by client. Therefore client must keep a regular watch on his email account and also add broker’s email address(es) as non – spam email address(es) in his system so as to ensure receipt of emails from the broker into his inbox.
- (c) The broker shall not be responsible for the non-receipt of any communication due to any change in the email address, mobile number or correspondence address of the client and client must ensure that broker is intimated in writing as soon as any change in these occurs and cross verify with broker that broker has updated such address, mobile number or email address change in its records.
- (d) Broker preserves on best effort basis various electronic and physical records upto such timelines as are prescribed under the regulatory/legal requirements applicable to the broker. These records may include but are not limited to voice recording of order placements/modifications/ cancellations (for offline order placements), voice recordings of other communications/directions with the client where prescribed/required and other records such as dispatch proof of communications sent to client including but not limited to contents/ copies of SMS and emails sent to clients and their dispatch logs as also logs of bounced / failed to deliver emails etc. Similarly physical documents including documents executed by the client for account opening, various authorisations given from time are also preserved through reasonably practicable efforts. However, the records particularly electronic records by their very nature are prone to loss/damage due to damage to the computer systems/ electronic storage devices wherein these records are stored as these devices can malfunction/ get corrupted easily. Therefore, mere inability of the broker to retrieve and make available any records including but not limited to those listed above shall not make the transactions/ orders/ dispatch of documents to client void or voidable. It shall therefore not be open to the client to simply disown transactions/execution / receipt or execution of documents and require the broker to prove each transactions and/or execution/dispatch / receipts of documents by client through production of voice records / electronic records, copies of executed documents which the broker may not be in a position to produce due to destruction/ damage to such records for reasons beyond control of broker including but not limited to those stated above.
- (3) The client is made aware that the broker may appoint agents, credit bureau for carrying out the acts mentioned in or in relation to rendering its services. Further the broker may have different types of arrangements with various partners, group entities, vendors, agencies, affiliates, agents, regulators etc., and may share client’s account related information, reports issued by such credit bureau with any such parties for various regulatory and other purposes. And the client shall not be entitled to question / invalidate/challenge under law any such sharing of information/reports by the broker.
- (4) The broker shall be entitled but not obliged to act upon and take on record any and all documents including updation/modification requests received from the client in/ through any digital/ electronic mode which is registered with broker and the client shall not be entitled to question or invalidate acceptance and actions by broker upon such electronic/digital instruction(s), and these electronic instructions would be considered sufficient and binding on client for all purposes whatsoever.
- (5) Client is made aware that the powers and authorities conferred by client’s power of attorney shall continue until client revokes the same in writing and gets delivered the revocation letter through speed post at 5th Floor, Urmila Business Park, A95B, Sector-136, Noida, Uttar Pradesh-201304 and the revocation is duly acknowledged by broker. Any such revocation will take effect after the completion of outstanding obligation existing on the date of receipt of revocation by the broker.
- (6) The client shall indemnify and keep safe, harmless and indemnified the broker and its officials from any damages, claims, demands, proceedings, loss, costs, charges, penalties and expenses etc. by whatsoever name called which the broker may at anytime incur, sustain, suffer directly or indirectly as a consequence of or arising out of actions of the client including but not limited to client's interference with or misuse, improper or fraudulent use of the trading system or

execution of illegal transactions by the client or due to bad delivery and/ or fake/forged/stolen shares/ securities/transfer documents introduced by or through the client and / or t due to false / fabricated / illegal documents / information such as proof of address, identity and other supporting/ documents provided by client to the broker at the time of registration and/ or subsequently.

- (7) In addition to the specific rights set out in this document, the broker shall be entitled to exercise any other rights which the broker may have under the Rules, Byelaws, Regulations or circulars of / issued by SEBI/ exchange/clearing corporations/government.
- (8) The terms/ conditions/ provisions in this document can be added to or altered by the broker by informing the client through any one or more modes of communication by broker enumerated under clause/sub-clause titled "MODES OF COMMUNICATION BY BROKER" of this document. If the client does not wish to accept such added or altered terms/ conditions/provisions, the client should stop trading prior to expiry of notice period if applicable or urgently and settle the dues in his trading and other related account(s) such as depository account etc. and close his trading and all other accounts by following the procedure prescribed for voluntary closure of account. If the client continues to trade / use the services of broker subsequent to communication by broker of any addition/ alteration in the terms/ conditions/provisions, it shall mean / imply that client has agreed to abide by such revised/ amended terms and conditions, and the client shall not be entitled to dispute/refute application of such additions/ alterations to terms/ conditions/provisions to his account/ transactions etc. However, if the rights and obligations of the parties hereto are altered by virtue of changes in Rules, Byelaws, Regulations or circulars of / issued by SEBI/ exchange/clearing corporations/government, the broker shall not be required to inform the client unless so required by exchanges/ clearing corporations/SEBI/government etc. and such changes shall be deemed to have been incorporated herein and in all other broker - client documents like tariff sheet, Rights and Obligations document, Risk Disclosure Document, Guidance Note, and various Authorisations etc. as may be applicable, and become binding on the client and the broker from the date mandated by exchanges/ clearing corporations/SEBI/government etc.
- (9) The client is made aware that in case any of the terms and conditions of this document are declared by a competent court of law/ statutory authority as invalid, illegal or unenforceable partially or fully in any respect of / or under any law, the validity, legality and enforceability of the remaining provisions or part of the provisions contained herein shall not in any way be affected or impaired and such valid and legal terms and conditions shall continue to be enforceable against the client without impairing the validity and enforceability of the document.
- (10) Client is made aware that any of the terms and conditions under 'Policies and Procedures' or any other broker-client document/ policies including Risk Management System Policies (RMS Policies) may be waived at any time by the broker only through writing, but no such waiver shall affect or impair the right of the broker to require observance and performance of any other term or conditions under any broker-client documents/ policies including those listed above. Further any failure or delay on the part of broker to exercise any right, power or privilege under any broker-client documents/ policies including those listed above shall be deemed to be a waiver of any subsequent breach or default by the client nor shall any non or partial exercise of any such right, power or privilege preclude any further exercise thereof or the exercise of any other right, power or privilege by the broker.
- (11) The client and broker shall compulsorily settle any and all disputes/differences/claims only through arbitration as provided for in the bye laws, rules and regulations of the exchange.
- (12) The client is informed that most of the broking documents including various broking related circulars, account opening documents and risk disclosure documents etc. have been issued by the statutory authorities in English. As a result, the broker's documents including this account opening booklet/set are also in English. Similarly, the trading systems of exchanges operate in the English language and as a result the trading terminals of the brokers and their web or mobile based trading interfaces also use the English language. Hence contract notes, bills, margin files and all other documents are also issued in English. It is therefore essential that the client is able to understand these documents in English and use English for trading interfaces etc. The client shall not be entitled to avoid/deny obligations to settle trades/transactions in the client's account in future by claiming lack of proficiency/knowledge of English language.



.....
Client Signature

Client Name:

Date:

'ग्राहक को अवगत कराया जाता है कि ब्रोकिंग से संबंधित विभिन्न सर्वर्युलर, खाता खोलने के दस्तावेजों और जोखिम प्रकटीकरण दस्तावेजों आदि सहित ब्रोकिंग के अधिकांश दस्तावेज वैधानिक प्राधिकरणों द्वारा अंग्रेजी में जारी किए गए हैं। नतीजतन, इस खाता खोलने वाली पुस्तिका/सेट सहित ब्रोकर के दस्तावेज भी अंग्रेजी में हैं। इसी तरह, एक्सचेंजों की ट्रेडिंग प्रणाली अंग्रेजी भाषा में काम करती है और परिणामस्वरूप ब्रोकर के ट्रेडिंग टर्मिनल और उनके वेब या मोबाइल आधारित ट्रेडिंग इंटरफेस भी अंग्रेजी भाषा का उपयोग करते हैं। इसलिए कांट्रैक्ट नोट्स, बिल, मार्जिन फ़ाइलें और अन्य सभी दस्तावेज भी अंग्रेजी में जारी किए जाते हैं। इसलिए यह आवश्यक है कि ग्राहक इन दस्तावेजों को अंग्रेजी में समझने में सक्षम हो और ट्रेडिंग इंटरफेस आदि के लिए अंग्रेजी का उपयोग कर सके। ग्राहक भविष्य में अंग्रेजी भाषा की प्रवीणता / ज्ञान की कमी का दावा करके ग्राहक के खाते में ट्रेडों / लेनदेन को निपटाने के दायित्वों से बचने / इनकार करने का हकदार नहीं होगा।'

I/We the client declare that I/we am/are signing this document titled 'Policies and Procedures' having clause/paras A,B,C,D,E,F,G,H,I,J and their sub-clause/sub-paras along with other declarations, undertakings etc. forming part of account opening booklet after duly understanding them in English or after having the meaning of all terms and conditions of above documents explained to me/us in Hindi or applicable vernacular language and agree to be bound by all of them. I/We acknowledge that the policies and procedures of the broker, including those in this document as also in other documents such as risk management system (RMS) policy document may change over time due to dynamic nature of securities market, issuance of circulars/ directions by exchanges/ SEBI and other statutory/government authorities. Therefore I/we shall rely upon and use the latest/updated policies and procedures including those listed above as made available by the broker on its official website.



.....
Client Signature

Client Name:

Date:

TARIFF SHEET

PRODUCT PLAN* / BROKERAGE (SUBJECT TO CHANGE)

To,
NX Block Trades Private Limited
 CIN: U74110UP2007PTC089557

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Dear Sir / Madam,

// We agree to pay the charges as per following Tariff structure for my Trading account.

CASH SEGMENT

Brokerage	In % (Subject to Max of 2.5%)	Minimum Paise
Delivery Based		
Daily Square Up		
Other Charges		
SLB		

DERIVATIVES SEGMENT

Brokerage	In% (Subject to Max of 2.5% Rs. 100 per lot)	Minimum Paise	*Brokerage per lot (in Rs.)
Futures			
Options			
Other Charges			

* Incase of option Index only

CURRENCY DERIVATIVES SEGMENT

Brokerage	In %	Minimum Paise	Brokerage per lot (in Rs.)
Futures			
Options			
Other Charges			

COMMODITY SEGMENT

Brokerage	In %	Minimum Paise	Brokerage per lot (in Rs.)
Delivery Based			
Daily Square Up			
Delivery Based Charges			
Other Charges			

Note:

1. Physical documents including contract notes shall be charged Rs. 50/- per documents + GST and postal Charges.
2. STT, CTT other taxes and levies, investor protection fund fees etc. charged by the statutory authorities/Exchange(s), delayed payment charges, cheque bounce charges, auction settlement charges, warehouse charges, VAT/GST charges as may be applicable will be levied. For details please login on our website www.nx-block.com.
3. I/We understand that economic condition change over time and therefore agree that NX Block Trades Private Limited is authorized to change the tariff in future. NX Block Trades Private Limited reserves the rights to change the brokerage as well as other tariff from time to time under intimation to client.



Client Signature

Client Name:

Date:



NON MANDATORY
DOCUMENTS

DECLARATION(S) AND AUTHORISATIONS BY THE CLIENT

To,
NX Block Trades Private Limited
CIN: U74110UP2007PTC089557

I/We _____ am/are a client of/intend to be a client of NX Block Trades Private Limited (NX Block) and are completing/ have completed the prescribed necessary account opening documentation requirements for investing/trading in securities, currency derivatives, equity derivatives, commodities / commodity derivatives etc. which are or may in future be admitted/permited for dealing on the respective exchanges and also for investing in other financial instruments/ products which NX Block is/ may be permitted by applicable laws/ regulations to sell / facilitate including but not limited to mutual funds units etc.

I/we the above said client, do hereby declare and/ or authorise NX Block as under:-

1. I/We confirm and declare that there are no show cause notices/ summons issued and/ or any bar/ restriction imposed on me/us by any exchange (such as NSE, BSE, MCX etc.) or any regulatory and/or statutory authority (such as SEBI/RBI/ Enforcement Directorate/Police etc.) to deal in securities directly or indirectly. I/We shall immediately inform NX Block, in writing, of any summons/ show cause notice issued or any bar/ restriction/ imposed or any other action taken by any exchange or regulatory/ statutory authority against me/us in future. In the event any show cause notice is issued and/or any action is taken by any of the exchanges or regulatory/ statutory authorities against me/us, NX Block is authorised at its sole discretion to close all the open positions and liquidate collaterals in my/our account without any notice to me/us and suspend/close my trading account and the losses if any shall be borne by me/us entirely without protest.
2. I/We undertake not to execute transactions, either singly or in concert with any other person(s), which may be viewed as manipulative including but not limited to artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/exchanges. In case NX Block determines in its opinion that I/we indulge in such activities, NX Block shall have the right to inform the exchange(s) /SEBI/other regulatory authority(ies) of the same and/or suspend/close my trading account, and the losses if any, due to actions of NX Block including suspension /closure of account and the penalties imposed by SEBI/Exchanges etc., if any shall be entirely borne by me/us without protest.
3. I/We affirm and declare that I/we have read and understood the contents and the provisions of the PMLA Act, 2002 and rules and regulations framed under this act and shall ensure compliance to the same. It is further declared that I/we –
 - a. do not have any links with any unlawful persons/institutions/ organisation;
 - b. am/are law abiding person(s) , neither involved nor assisting directly or indirectly, in any process or activity connected with crime or proceeds of crime;
 - c. shall invest money derived from legal means which is not black or hawala money;
 - d. shall provide documents including but not limited to proof of income, network and their sources, and ultimate beneficial ownership as also proof of identity and residence etc. as may be demanded by NX Block without protest and demur;
 - e. shall not bring any claim , suit or action for any losses suffered on account of NX Block or its directors/ officer/ agents carrying out PMLA due diligence, reporting to Financial Intelligence Unit or any other action including suspending or deregistering the trading / demat accounts etc.
4. I/We agree to keep NX Block updated of my/our financial status by providing net-worth certificates/ copy of Income Tax returns / Balance Sheet/ Bank Statements and other financial statements / Demat account statements, at regular intervals or as may be required by NX Block from time to time and in any event at the end of each financial year failing which NX Block has the right to take such action as it deems fit including closing/ suspending my/our account and termination of provision of any of the services to me /us and losses if any shall be borne by me/us without protest.
5. I/We authorise NX Block to fetch/ download / obtain data/ information from agencies such as KRA, CKYC and CIBIL/other credit information firms and share these details/ data and other demographic / personal information available with NX Block with these agencies and also with group/associates/affiliates/partners/vendors/ agents or regulators of NX Block for any purpose deemed fit by NX Block including but not limited for marketing new and existing products or conducting data analytics/research etc. NX Block and its group/associates/affiliates/partners/vendors/ agents are hereby authorised to access and analyse my/our personal information/ data and credit information for such purposes as may be required or deemed fit including financial or any other evaluation etc.
6. I/We hereby authorise NX Block to act upon and/or execute/process my/our instruction/directions/ information / documents (including scans/photos of documents) sent to NX Block via/through/with Email, SMS, Whatsapp/Telegram, facsimile transmission (FAX) or any other electronic communication channels / means/ methods which is/are registered with NX Block and these electronic instructions would be considered sufficient and binding on me/us for all purposes whatsoever.



7. I/We are aware that NX Block and/or its group/associates/affiliates/partners/vendors/ agents may send/ sends various research reports, recommendations, trade related information, etc. through telephone/ mobile calls, SMS and various other mode of communications including but not limited to emails etc. I/We are aware that such communications may also qualify as commercial/promotional communication as per TRAI Regulations or any other government/ statutory directions. I/We hereby give mine/our consent to receive all such telephone/ mobile calls, SMS and emails etc. I/We agree and confirm that my/our consent to receive all such telephone/ mobile calls, SMS and emails etc from NX Block and/or its group/associates/affiliates/partners/vendors/ agents overrides the Do Not Call Register (DNCR) registration which may have been opted by or be applicable to me/us at any point of time.

8. NX Block is hereby authorized to mark pledge on my/our securities in my/our demat account(s) for the purposes of margin and/or marking permitted liens in accordance with the margin pledge system declared by SEBI as amended through clarifications /guidelines issued by SEBI/ exchanges from time to time.

9. I/We hereby request and authorise NX Block to provide (subject to availability and payment for the same by me/us) simultaneous access/login to different internet-based (on-line) trading facilities/ applications, such as web-browser-based login along with desktop applications along with mobile phone-based applications along with Algo based applications etc. I/We require the simultaneous logins so that I/we can use each of these separately for different purposes at the same time such as, placing orders and/or monitoring/viewing the trading pattern/ statistics on the stock exchanges, checking the outcome of my/our orders and/or plotting trading charts etc. I/We understand that there could be a misuse of multiple login facility by third parties if, I/we do not maintain the strictest password protection and vigilance and I/we do hereby undertake to maintain the highest level of safety and confidentiality of the password for accessing the trading facilities of NX Block. I/We shall continuously monitor all logins using my/our login credentials/login ID and in the event of any unauthorised login or attempt at unauthorised login, I/we shall urgently take all remedial steps including but not limited to change of password, informing NX Block immediately and reporting to law enforcement agencies etc. I/we clearly understand and agree that the simultaneous access/ login facility is being provided upon my/our request and I/we shall settle/pay for all trades (even if they are loss-making trades/ transactions) resulting from orders emanating from any/all login(s) using my/our user ID/ login credentials even if such trades were from use/misuse of multiple login facility.

10. I/We the client hereby indemnify and keep safe, harmless and indemnified NX Block and its officials/agents/ Directors etc. from any damages, claims, demands, proceedings, loss, costs, charges, penalties and expenses etc. by whatsoever name called which NX Block may at anytime incur, sustain, suffer directly or indirectly as a consequence of or arising out of NX Block having accepted me/us as its client and any acts of commission/ omission by me / us including but not limited to interference with or misuse, improper or fraudulent use of the trading system of NX Block including execution of illegal transactions or due to bad delivery and/ or fake/forged/stolen shares/ securities/transfer documents introduced by or through me/us and / or due to false / fabricated / illegal documents / information such as proof of address, identity and other supporting/ documents provided by me/us to NX Block at the time of registration and/ or subsequently.

11. I/We authorise NX Block to maintain combined/ collective books of accounts across exchanges and across segments of the exchanges (such as cash/ derivatives segments) as also across various other divisions/ services such as depositories etc. NX Block may transfer the credit lying in my/our ledger for any exchange/ segment of an exchange to my/our ledger for other exchange(s) / segment(s) of other exchanges or ledgers for other divisions/ services such as depositories etc. NX Block may do so in its absolute discretion without reference to me/ us as per requirement of funds for meeting settlement obligations and/or margin obligations towards my/our positions/exposures taken in any exchange/ segment of exchange and/or for making payments to NX Block for services rendered to me/us by various divisions of NX Block including but not limited to depository, research etc. All monies, securities or other property, which NX Block may hold on my/our account, shall be held subject to a general lien for the discharge of my/our obligations to NX Block across exchanges/ segments of exchanges and various divisions of NX Block.

12. I/We am/are aware that as per the RBI guidelines the Foreign Institutional Investors (FIIs), Non-Resident Indians (NRIs), and Persons of Indian Origin (PIOs) are allowed to invest in the secondary capital markets in India through the portfolio investment scheme (PIS) or relevant schemes of RBI as may be declared from time to time. I/we agree to abide by PIS scheme requirements if it is/ or becomes applicable to me/us. I /we shall keep NX Block updated of change of our status to NRI/ PIO and vice versa. I/we shall abide by the ceiling limits on investments as prescribed by RBI from time to time. I/ we also authorize NX Block to reverse my/our transaction / sell my/our securities in the event of breach of limits under intimation to the me/us and I /we shall bear the loss if any on account of such reversal by NX Block.

13. I/We am/are aware, agree and confirm to abide by the various circulars, notifications issued by the authorities with respect to my/our Permanent Account Number (PAN) and all associated person's PAN including linking of my/our PAN and/or associated person's PAN as applicable, to the respective Aadhar. I/We confirm to keep NX Block apprised about any changes to my/our PAN including any change to the status of my/our PAN as also for all associated PAN's as applicable. I/We confirm and declare that I/we shall be solely responsible for any liabilities, losses, damages, penalties etc. arising out of any changes to the PAN or to the status of any such PAN's, which affects my/our accounts and dealings with NX Block.



Client Signature

Client Name:

Date:

RUNNING ACCOUNT AUTHORISATION

To,
NX Block Trades Private Limited
CIN: U74110UP2007PTC089557

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 & 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. In case I/We have an 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 obligations for calculated in the manner as specified by the Exchanges from time to time.

I/We understand and agree that no interest will be payable to me/us on the funds so retained by you.

I/We further agree and empower/authorize you:

- a. To act in your discretion of merging balances kept under various accounts held with you, such as CM Trading Account, F&O Trading Account, Currency Trading Account, Commodities Trading Account etc., to nullify the debit in any of my/our other account held with you without taking any further instructions from me/us.
- b. To debit my/our trading account towards depository/warehouse charges payable by me/us.

I/We have the liberty to revoke this authorization at any time in writing with prospective effect. This authorization is subject to changes as prescribed by the Stock/Commodity Exchange(s) / SEBI from time to time.

It is understood that the "Actual settlement of funds" shall be done by you at least once in 30 Days or 90 Days. While settling the account you will be sending me/us a 'statement of account', containing an extract from the client ledger for funds displaying all receipts/payments of funds. The statement shall also explain the retention of funds and the details of the pledge.

I/We also understand that in case I/we have not done any transaction in the 30 Calendar Days since the last transaction, the Credit Balance shall be returned by you within next 3 working days irrespective of the date when my running account was previously settled.

I/We will bring any discrepancy or dispute arising from the Statement of account so issued by you or the settlement made by you to your notice preferably within 30 working days from the date of receipt of funds or statement as the case may be.

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

Once in 90 Days Once in 30 Days

Thanking you,
Yours faithfully,


Client Signature

Client Name:

Date:



VERBAL ORDER ACCEPTANCE AUTHORISATION

To,
NX Block Trades Private Limited
CIN: U74110UP2007PTC089557

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/Commodities Segments etc. 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/We agree and acknowledge that it is advised by you that I/We should give instructions for order placement/modification and cancellation in writing and to avoid disputes, I/we must give instructions in writing and take signatures of your authorised officers at the branch along with company stamp on the carbon/photocopy of the instructions in acknowledgment of receipt of my our instructions.

However as I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuation in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my/my authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/ We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) by shifting the burden of proof by asking you to prove the placement of orders through telephone recording or otherwise.

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

Thanking you.

Yours faithfully,



.....
Client Signature

Client Name:

Date:

AUTHORITY LETTER TO SEND DOCUMENTS ELECTRONICALLY

To,
NX Block Trades Private Limited
CIN: U74110UP2007PTC089557

I/we authorise you to issue the contract notes, statement of funds & securities &/or commodities, circulars, amendments, Client Registration Documents and such other documents in electronic mode in lieu of physical mode on my E-mail ID as given in KYC form and updated from time to time.

Any change in the E-mail ID shall be communicated by me / us in writing to your customer care department.

Further, to my /our authority to you to issue Contract Notes in digital format I/we authorise you not to provide me/us Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from the Contract Notes issued to us.

I/We authorize you to send periodic statements of funds and securities &/or commodities & margin statement etc. in digital format at my Email address unless I/We request you in writing to send them in paper form.

I/We hereby acknowledge that all the documents as sent above by NX Block Trades Private Limited electronically will be considered as having delivered to me once the e-mail leaves NX Block Trades Private Limited e-mail server unless the same is rejected by client e-mail server and bounced mail notification is received by NX Block Trades Private Limited I/We further agree that in the absence of communication from my/our end regarding non-receipt of documents through e-mail, or notification of any discrepancy within 7 days from the date of issuance of digital contract note through e-mail, NX Block Trades Private Limited may construe that there is a deemed acknowledgment of the document(s) sent to me/us electronically.



.....
Client Signature

Client Name:

Date:

AUTHORISATION

To,
NX Block Trades Private Limited
CIN: U74110UP2007PTC089557

I/We understand that in case, of my/our failure to make the funds pay in arising out of settlement/ margin obligations or delivery of securities &/or commodities for my/our deals/trading by designated day, you are hereby authorised to liquidate all or any of the securities/commodities received in pay out or lying in my Demat account and/or close our positions at applicable rates in case of any margin requirement / to settle the dues arising from time to time.

OR

I/We do hereby request you not to carry out such sell off in the market the securities &/or commodities received in pay out and/or deem my/our positions closed out and I/We shall in consideration thereof shall pay the opportunity cost/interest on such non sold off securities &/or commodities and/or non closed out position without demur or protest at such opportunity cost and/or interest as you shall determine entirely at your discretion.

I/We do hereby indemnify and agree to compensate for any losses, penalties you may suffer for agreeing to this direction.

Thanking you.

Yours faithfully,


Client Signature

Client Name:

Date:

REQUEST FOR ENABLEMENT ON SLBM SEGMENT

To,
NX Block Trades Private Limited
CIN: U74110UP2007PTC089557

Dear Sir,

I/We have read SEBI Circular No. CIR/MRD/DP/19/2014 dated June 3, 2014. I/We have also received, read and accept the terms and conditions of the Rights & Obligations Document issued by NSE Clearing Limited (NCL) laying down the rights and obligations of the Participant and its client for the purpose of Securities Lending and Borrowing (SLB). I/We further agree to be bound by the operational terms and conditions of NX Block Trades Private Limited (NX Block) for SLB, as may be available on official website of NX Block along with all the circulars issued by SEBI and NCL from time to time for the purpose of SLB. I/We agree to pay a processing fee of 15% (or the amended rates informed by NX Block from time to time) of lending & borrowing fee for participating in the SLB segment. Further, I/we am/are a client of/intend to be a client of NX Block and are completing/ have completed the prescribed necessary account opening documentation requirements for investing/trading in securities and request you to kindly use the details in these account opening documents for my/our SLB account. I/We agree that the terms and conditions of these account opening documentation including but not limited to, The Rights and Obligations of Stock Brokers and Clients (including additional rights & Obligations in case of internet/wireless technology based trading), Risk Disclosure Document for Capital Market and Derivatives Segments, Guidance Note- Do's and Don'ts for Trading on the Exchange(s) for Investors, Policies and Procedures describing significant policies and Procedure of Stock Broker and Declarations and Authorizations by the Client pertaining to the Trading Account shall also be applicable to my/our SLB account unless repugnant to the context.

I/We understand that NX Block may accept this request for SLBM at its discretion and if accepted, I/we shall be duly informed and only after such acceptance by NX Block, I/we shall be eligible to participate in SLB through NX Block.

Thanking You


Client Signature

Client Name:

Date:



AADHAAR CONSENT - FOR INDIVIDUALS

To,
NX Block Trades Private Limited
CIN: U74110UP2007PTC089557

Date

D	D	M	M	Y	Y	Y	Y
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I/we hereby provide my/our consent to NX Block Trades Private Limited in accordance with Aadhaar Act, 2016 and regulations made there under for (i) collecting, storing and usage (ii) validating / authenticating and (iii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made there under).

I/We hereby provide my/our consent for sharing/disclosure of the Aadhaar number(s) including demographic information with NX Block Trades Private Limited, SEBI, Exchanges, CKYC, KRA, Depositories and any other institutions /agencies as per requirement.

I/We hereby agree to carry out online KYC for opening or maintenance of my trading & demat account and hereby give consent to NX Block to share my details and records with Digilocker, for enabling retrieval of Official Valid Documents from Digilocker system, as required for online KYC

Sr. No.	Name	Aadhaar Number											
1.		X	X	X	X	X	X	X	X				
2.		X	X	X	X	X	X	X	X				
3.		X	X	X	X	X	X	X	X				


Sole/First Holder

AADHAAR CONSENT - FOR NON INDIVIDUALS

To,
NX Block Trades Private Limited
CIN: U74110UP2007PTC089557

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

I/We hereby provide my/our consent to NX Block Trades Private Limited in accordance with Aadhaar Act, 2016 and regulations made there under,for (i)collecting,storing and usage (ii) validating/authenticating and (iii)updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made there under).

I/We hereby provide my/our consent for sharing / disclosure of the Aadhaar number(s) including demographic information with NX Block Trades Private Limited, SEBI, Exchanges, CKYC, KRA, Depositories and any other institutions /agencies as per requirement.

I/We hereby agree to carry out online KYC for opening or maintenance of my trading & demat account and hereby give consent to NX Block to share my details and records with Digilocker, for enabling retrieval of Official Valid Documents from Digilocker system, as required for online KYC

Sr. No.	Name	Designation	Aadhaar Number										
1.			X	X	X	X	X	X	X				
2.			X	X	X	X	X	X	X				
3.			X	X	X	X	X	X	X				
4.			X	X	X	X	X	X	X				


Sole/First Holder

HUF DECLARATION

To,
NX Block Trades Private Limited
 CIN: U74110UP2007PTC089557

Dear Sir,

1. Whereas the Hindu Undivided Family of is carrying on business in the firm name and style of at or we intent to deal have or desire to have Securities Trading Account with NX Block Trades Private Limited (hereinafter referred as Member). We undersigned, hereby confirm and declare that we are the present adult co-parceners of the said joint family; that Mr./Mrs..... is the present Karta of the said joint family.
2. We confirm that affairs of HUF firm are carried on mainly by the Karta Mr/ Mrs. on behalf and in the interest and for the benefits of all the co-parceners. We hereby authorize the Karta on behalf of the HUF to deal with the member and the said trading member is hereby authorized to honor all instructions oral or written, given by him on behalf of the HUF. He is authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through the member on behalf of the HUF.
 He is also authorize to sign execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said HUF firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every co-parceners of the said joint family, including the share of the minor co-parceners, if any.
3. We undertake to advise the member in writing of any change that may occur in the Karta ship or in the constitution of the said joint family or of the said HUF firm and until receipt of such notice by the member who shall be binding on the said joint family and the said HUF firm and on our respective estates. We shall, however continue to be liable jointly and severally to the member for all dues obligations of the said HUF firm in the Member's book on the date of the receipt of such notice by the member and until all such dues and obligations shall have been liquidated and discharged.
4. The names and dates of the birth of all the present minor & major co-parceners of the said joint family are given below. We also undertake to inform you in writing as and when each of the said members attains the majority and is authorized to act on behalf of, and bind the said HUF firm.

List of Family Members

	Name of the Co-parceners (Including Minor also)	Relationship with Karta	PAN No.	Address (if other than Karta's address)	Date of Birth	Signature
1.						
2.						
3.						
4.						
5.						
6.						

Note : In case of adult family member provide copy of PAN card or any other ID proof (DL/Voter ID/ Passport). In case of Minor Family Member provide copy of age certificate (Birth Certificate/School Leaving Certificate).

Name of the HUF.....

Signature of Karta with Rubber Stamp

 Client Signature

Date:



MOST IMPORTANT TERMS AND CONDITIONS (MITC)

(For non-custodial settled trading accounts)

To,
NX Block Trades Private Limited
CIN: U74110UP2007PTC089557

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.



.....
Client Signature

Client Name:

Date:

DECLARATION FOR NAME MISMATCH

(To be filled if the name on documents is different)

To,
NX Block Trades Private Limited
 CIN: U74110UP2007PTC089557

This is to bring to your notice that my name is spelt differently in my Identity proof, Address proof and Bank proof. Please find below the names as spelt in respective proofs:

Name as per PAN CARD _____
 Name as per Address Proof _____
 Name as per Bank Proof _____

I hereby confirm that all the said names belong to me. I hereby state and confirm that what is stated above is true and correct information. I agree to indemnify and keep NX Block Trades Private Limited indemnified at all times from and against all costs, charges, damages, penalties (including attorney fees) suffered and/or incurred by NX Block Trades Private Limited for any act done or omitted to be done on the above declaration.

 Client Signature Client Name: Date:

DECLARATION FOR SIGNATURE MISMATCH

(To be filled if client's signature is mismatched from signatures on PAN Card and/or Bank proof)

To,
NX Block Trades Private Limited
 CIN: U74110UP2007PTC089557

This is to bring into your notice that my signature on PAN Card / Bank and account opening form are as follows:

Signature as per Bank	Signature as per Account Opening Form	Signature as per PAN Card
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I hereby confirm that all the above signatures are mine. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep NX Block Trades Private Limited indemnified at all times from and against all costs, charges, damages, penalties (including attorney fees) suffered and/or incurred by NX Block Trades Private Limited for any act done or omitted to be done on the above declaration.


 Client Signature Client Name: Date:

DECLARATION OF OPEN POSITIONS

To,
NX Block Trades Private Limited
 CIN: U74110UP2007PTC089557

Sub: My request for trading in commodity forward contracts/commodity derivatives on MCX, BSE and NSE as your client

I/We the undersigned, have taken cognizance of circulars issued by Exchanges/SEBI from time to time on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same. I/we hereby declare and undertake that I/we will not exceed the position limits prescribed from time to time by Exchanges or SEBI and such position limits will be calculated in accordance with the circulars on position limits as modified from time to time. I/we undertake to inform you and keep you informed if I/ any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/ Trusts in which I or any of above such person is a partner/director/karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative on Exchanges through you or through any other member(s) of Exchanges to enable you to restrict our position limit as prescribed by the applicable circular of Exchanges/SEBI as modified from time to time. I/we confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your clients on Exchanges only on the basis of our above assurances and undertaking. I/We further undertake to bear any liable/penalty/charges levied by Exchanges / SEBI.

 Client Signature Client Name: Date:



SELF DECLARATION - CATEGORIZATION OF THE CLIENTS FOR EACH COMMODITY

To,
NX Block Trades Private Limited
CIN: U74110UP2007PTC089557

Subject: Categorization of the clients for each commodity

I/We have been/shall be dealing through you as my/ our member broker on different Commodity Exchanges. I/We hereby declare my/ our category for the commodities mentioned therein, as given below in accordance with SEBI circular no. SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 dated January 04, 2019:

Table with 8 columns: Sr. N., Name of Commodities, Farmer / FPO, Value chain participant (VCP), Domestic financial institutional investor, Foreign participant, Proprietary trader, Others. Rows list commodities from 1 to 36 including BARLEY, CHANA, MAIZE, WHEAT, MOONG, PADDY (BASMATI), KAPAS / COTTON, BLACK PEPPER, CARDAMOM, CASTOR SEED, GAUR SEED 10 MT, GAUR GUM, SOY BEAN, MUSTARD SEED, CRUDE PALM OIL, MENTHA OIL, RBD PALMOLEIN, REFINED SOY OIL, COTTON SEED OILCAKE, SUGAR M, TURMERIC, JEERA, CORIANDER, CRUDE OIL, NATURAL GAS, ALUMINIUM, BRASS, COPPER, LEAD, NICKEL, ZINC, GOLD, SILVER, MCXBULLDES, MCXMETLDEX, RUBBER.

I/We further declare that in case declaration is not provided for any of the particular exchange traded commodity, please consider the "Others" category for the same. I/We undertake that I/we shall inform the member broker in case there is any change in category for any of the exchange traded commodity.

Client Signature

Client Name:

Date:

CATEGORIES

- Farmers/FPOs: It includes participants such as farmers, farmers' cooperatives, Farmers Producers Organisations (FPOs) and such entities of like nature.
- Value chain participants (VCPs): It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Producers, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs.
- Proprietary traders: It includes the members of stock exchanges trading in their proprietary account.
- Domestic financial institutional investors: It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives.
- Foreign participants: It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets.
- Others: All other participants which cannot be classified in the above categories.

ACKNOWLEDGEMENT

To,
NX Block Trades Private Limited
CIN: U74110UP2007PTC089557

1. Account Opening Form
2. Policies and Procedures
3. Tariff Sheet
4. Rights and Obligations
5. Rights And Obligations document for SLB
6. Risk Disclosure Document (RDD)
7. Guidance Note
8. Terms & Conditions
9. Declarations and authorisations by the client
10. Running account authorization
11. Verbal order acceptance authorisation
12. Authority Letter to Send Documents Electronically
13. Authorisation
14. Request for enablement on slbm segment
15. Aadhaar Consent
16. HUF declaration
17. Declaration for name mismatch
18. Declaration for signature mismatch
19. Declaration of open positions
20. Most Important Terms and Conditions (MITC)
21. Self Declaration - Categorization of the clients for each commodity
22. Acknowledgment

I/We have been informed, that the documents at serial no 2,4,5,6,7,8 are also available on the broker's website (www.nx-block.com) and documents at serial no 4,5,6,7 are also available on respective websites of NSE,BSE,MCX and SEBI. I/We declare that the voluntary documents have been executed by me/us out of my/our own free will. I/We state and declare that I/We have read and accepted terms and conditions of all the above documents and all the terms and conditions of these documents are binding upon me.



.....
Client Signature

Client Name:

Date:



NX Block Trades Private Limited

National Stock Exchange of India Limited (NSE) | BSE Limited (BSE)

Multi Commodity Exchange of India Limited (MCX)

SEBI Regn. No. INZ000308934

NSE: 90343 | BSE: 6848 | MCX: 57105

Regd. Head Office :

5th Floor, Urmila Business Park, A95B, Sector-136, Noida, Uttar Pradesh-201304

Tele No.: 0120-3635930