

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction **E** at the end)

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1*

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

4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

Same as Current / Permanent / Overseas Address details

Same as Correspondence / Local Address details

Line 1*

Line 1*	Line 2	Line 3	City / Town / Village*
State*	ZIP / Post Code*	ISO 3166 Country Code*	

5. CONTACT DETAILS (All communications will be sent on provided)

T Tel. (Res) - Mobile -
FAX Email ID

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction **G** at the end)

Addition of Related Person Deletion of Related Person

KYC Number of Related Person (if available*)

Related Person Type* Guardian of Minor Assignee Authorized Representative
Prefix First Name Middle Name Last Name
Name*

(If KYC number and name are provided, below details of section 6 are optional) el. (Off)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction **H** at the end)

A- Passport Number Passport Expiry Date - -
 B- Voter ID Card
 C- PAN Card
 D- Driving Licence Driving Licence Expiry Date - -
 E- UID (Aadhaar)
 F- NREGA Job Card
 Z- Others (any document notified by the central government) Identification Number
 S- Simplified Measures Account - Document Type code Identification Number

7. REMARKS (If any)

Mobile no. / Email-ID) (Please refer instruction **F** at the end)

8. APPLICANT DECLARATION

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

• I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : - -

Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

IPV Done / Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY

IPV Done on Date - -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

[Institution Stamp]

INSTITUTION DETAILS

Name A L M O N D Z G L O B A L S E C L T D

Code I N 0 0 7 5



Account Details Addition / Modification / Deletion Request Form

ALMONDZ GLOBAL SECURITIES LTD.
F 33/3 Okhla Industrial Area
Phase - II, New Delhi-110020

Application No.									Date							
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Please fill all the details in Block Letters in English

DP ID	1	2	0	4	1	9	0	0	Client ID							
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Trading id																
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Account Holder's Details

Name of First / Sole Holder	
Name of Second Holder	
Name of Third Holder	

I/We request to carry out the change of address / signature in the demat account
 I/We request to carry out the change of address / signature in the KRA and demat account

I/We request you to make the following additions / modifications / deletions to my/our account in your records.

Details (Pl. specify change of address, bank details, telephone number etc.)	Addition / Modification / Deletion (Please specify)	Existing Details	New Details

Attach an Annexure (with signature(s)) if the space above is found insufficient.

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

===== (Please Tear Here) =====
Acknowledgement Receipt

Received Account Details Addition / Modification / Deletions request as per details given below :

Application No.		Date	D	D	M	M	Y	Y	Y	Y
DP ID					Client ID					
Name of the Sole / First Holder										
Name of Second joint Holder										
Name of Third joint Holder										

C. TRADING PREFERENCES

*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Exchanges	NSE, BSE & MSEI					MCX, NCDEX, BSE & NSE
All Segments	Cash / Mutual Fund	F&O	Currency	Debt	Commodity Derivatives	
	<input checked="" type="checkbox"/> (3/34)	<input checked="" type="checkbox"/> (4/34)	<input checked="" type="checkbox"/> (5/34)	<input checked="" type="checkbox"/> (6/34)	<input checked="" type="checkbox"/> (7/34)	<input checked="" type="checkbox"/> (8/34)

If you do not wish to trade in any of the segments / Mutual, please mention here _____

D. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock 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 :

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-
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E. DEALINGS THROUGH AP AND OTHER STOCK BROKERS

If Client is dealing through the AP, provide the following details :

AP Name : _____

SEBI Registration No. : _____

Registered Office Address : _____

Pin Code : _____

Phone : Fax:

Website :

Whether dealing with any other stock broker/AP

(if case dealing with multiple stock brokers/AP, provide details of all)

Name of Stock Broker : _____

Name of AP (if any) : _____

Registered Office Address : _____

Pin Code : _____

Client Code : _____ Exchange

Details of disputes/dues pending from/to such stock broker/AP _____

F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) :

Physical Contract Note

Electronic Contract Note

Specify your Email id, if applicable :

- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)

ONLINE

OFFLINE

- Number of years of Investment/Trading Experience Years

- Any other information :

Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

*Joint Accounts:

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

** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving License or Aadhaar (last 4 digits). Copy of the document is not required. However, in case of NRI / OCI / PIO, Passport number is acceptable.

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

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

1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the DP as follows; (please tick, as appropriate)

- Name of nominee(s)
- Nomination: Yes / No

2) I hereby authorize _____ (nominee number ____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ____ % of assets in the account or Rs. _____. (Optional) (strike off portions that are not relevant) This nomination shall supersede any prior nomination made by me / us, if any.

3) Signature(s) – As per the mode of holding in demat account(s)

Name(s) of holder(s)	Signature(s) of holder / thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable)*
Sole / First Holder (Mr./Ms.)			
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			

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

Rights, Entitlement and Obligation of the investor and nominee:

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

Transmission aspects

- DPs shall transmit the account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the DP.

In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

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



Declaration Form for opting out of nomination

To	Date	D	D	M	M	Y	Y	Y	Y
Almondz Global Securities Ltd. DP of Central Depository Services(i) Ltd. Head office & Regd.office:F33/3, Okhla Industrial Area Phase-II, Delhi-110001 Tel. (011):43500700-800 Fax (011) 43500735 DP-ID 12041900 ,SEBI Reg.No IN-Dp-CDSL-328-2006									
UCC/DP ID	I	N							
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third 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)*									
1.	2.	3.							

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

Most Important Terms and Conditions (MITC)

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone including your own Almondz, our 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 Almondz before you trade. The collateral can either be in the form of funds transfer into specified Almondz bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on Almondz website. Please do not transfer funds into any other account. Almondz is not permitted to accept any cash from you.
3. Almondz Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that Almondz 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 Almondz. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. Almondz is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. Almondz 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 by Almondz directly at the website of the Clearing Corporation(s).
6. You will get a contract note from Almondz within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to Almondz for limited access to your demat account, including transferring securities, which are sold in your account for pay- in.
8. Almondz is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with us as and when requested for. Kindly also keep your email Id and mobile phone details with us always updated.
9. In case of disputes with Almondz, you can raise a grievance on grievances@almondz.com, the dedicated investor grievance ID of Almondz. 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.

Policy for Voluntary Freezing / Blocking of Trading Account – Almondz Global Securities Ltd.

Introduction: The policy for voluntary freezing/blocking of trading account has been designed in accordance with the guidelines prescribed by SEBI vide circular SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 on the subject “Ease of Doing Investments by Investors-Facility of voluntary freezing/ blocking of Trading Accounts by Clients” and the subsequent guidelines prescribed by the stock exchanges (NSE vide Circular no. NSE/INSP/61529 Dated April 08, 2024 and BSE vide circular no. 20240408-12 dated April 8, 2024) on the subject “Framework for Trading Members to provide the facility of voluntary freezing/blocking the online access of trading account to their clients”.

Purpose: The procedures/details mentioned in this document are in accordance with the guidelines mentioned in the above-mentioned SEBI & exchange circulars. These guidelines aim to facilitate the freezing/blocking of the client’s online trading account (based on request received from the client) in case any suspicious activity is noticed by the client in his/her/its account.

Scope: This policy is applicable to all clients who have opened their trading account with Almondz Global Securities Limited (AGSL). However, please note that –

1. Freezing/blocking is only for the client’s online access to the trading account and there shall be no restrictions on AGSL to carry out any Risk Management activities
2. The request for freezing/ blocking the account will not lead to marking the client’s Unique Client Code (UCC) as inactive in the Exchange records.

Procedure to Freeze/Block the Online Trading Account:

The client may request for voluntary freezing/blocking of online access to his/her trading account through any of the modes mentioned below. All efforts will be taken by AGSL personnel to fulfil the client’s request in the below timeline –

1. **Timelines:** AGSL intends to follow below timelines to freeze/block the online trading account in accordance with the request received from the client.
 - a. **Request received during the trading hours & within 15 minutes before start of trading** - within 15 minutes.
 - b. **Request received after the trading hours & 15 minutes before start of trading** - before the start of the next trading session.
2. **Modes:** Clients can place a request to report any suspicious activity or to voluntarily freeze their trading account via the following modes–
 - a. By sending an email from his/her/its registered email id to stoptrade@almondz.com
 - b. By calling on customer care desk at 022-71241650 from their registered mobile number during normal business hours.
3. **Note:** stringent identity verification will be conducted before considering any client’s block requests. Hence, all clients are requested to keep all their Personal Identification Information (such as PAN, DOB, Trading ID, Demat ID etc.) handy to facilitate smooth and fast processing of requests.
4. **Process:** AGSL shall follow the below process for the requests received through any mode of communication mentioned above –

- a. Verify whether request is received from the registered mobile number/e-mail ID of the client.
 - If the request is received from another mobile number and/or email id (other than the registered email id/mobile number), proper verification of the client shall be done.
 - During the verification process, AGSL personnel would ask the client/s a series of questions (basic checks) to understand the gravity of the request received. These questions would relate to but will not be limited to the existing positions in the client's account, inadvertent sharing of login credentials, OTPs, orders, devices used for trading, etc.
- b. Freeze / block the online access of the client's trading account and simultaneously cancel all the pending orders, if any, of the said client.
- c. Send the acknowledgement to the client's registered email ID and/or mobile number stating that the online access to the trading account has been frozen / blocked and all the pending orders in the client's trading account, if any, have been cancelled.
- d. In addition to the above, details of open positions (if any) to also be communicated to the client on his/her/its registered email ID along with contract expiry information. This shall help to eliminate any settlement risks.

5. Clients are requested to make an informed decision based on these suggestions and communicate their decisions clearly and unequivocally such that AGSL personnel can proceed with blocking/freezing of client's trading account.

Procedure to Unfreeze/Unblock the Online Trading Account: Clients can unfreeze/unblock their online trading accounts by raising a request via any of the modes –

- a. By sending an email from his/her/its registered email id to stoptrade@almondz.com
- b. By calling on customer care desk at 022-71241650 from their registered mobile number.

In order to unfreeze/unblock the trading account, the client would need to undergo stringent due diligence checks including validation of reactivation request and/or mandatory re-KYC.

Signature of Client

ALMONDZ GLOBAL SECURITIES LIMITED

POLICY ON GOOD TILL CANCELLED ORDERS

Background

Exchanges vide its circular NSE/INSP/62528 dated June 21, 2024 and 20240622-2 dated June 22, 2024 pertaining to 'Policy on Handling of Good Till Cancelled Orders offered by Members to Clients' mandated trading members to formulate a policy in case they offer "Good Till Cancelled" / "Good Till Triggered" orders or orders of similar type.

Scope

The Exchanges have stated that the policy shall include –

- Details of Good Till Cancelled/Good Till Triggered/orders of similar type provided by member including its validity.
- Manner of handling of such orders in case of corporate actions (e.g. cancellation, price reset, retaining, etc. for the unexecuted orders).
- Provide timeline within which the member shall intimate their clients about details of upcoming corporate actions applicable for such unexecuted orders of clients, which shall not be later than one day prior to the ex-date of the corporate action.

Details of Good Till Cancelled orders

- ALMONDZ GLOBAL SECURITIES LIMITED facilitates its clients to place Good Till Cancelled Orders (GTCO)
- GTCO is a order facility through which a client can place buy and sell limit orders in shares, index futures & index options specifying the period for which the order instruction is valid. The period selected by the client shall be within the maximum validity date defined by ALMONDZ GLOBAL SECURITIES LIMITED
- All existing and new clients of ALMONDZ GLOBAL SECURITIES LIMITED who are eligible to trade in Equity Cash product & Derivatives can avail GTCO facility for order placement.
- The facility of placing a GTCO order is available in Equity Cash product, Index futures, Index Options and E-Margin (MTF) product only. It is not available for other products like Margin, Spot, etc. As and when, GTCO orders are introduced in new segments the same shall be displayed through the ALMONDZ GLOBAL SECURITIES LIMITED website and subsequently updated in the policy.
- Client can specify disclosed quantity while placing cash orders with GTCO order validity.
- GTCO orders can only be placed by specifying a limit price. GTCO orders cannot be placed at market price.
- GTCO orders can be placed during the pre-open session for all scrips, however only orders in scrips that are pre-open enabled would be sent to exchange during the pre-open session. Orders in all other scrips not enabled for pre-open session would be treated as overnight orders and sent to exchange during normal trading session.

Signature of client

- Client shall ensure that necessary funds/margins are available to place GTCO orders in their account for the unexecuted quantity of the order.
- “Order Validity Date” means the date entered by the client while placing GTCO orders. This date shall be equal to or less than the maximum validity date defined by ALMONDZ GLOBAL SECURITIES LIMITED which would appear as the default “Order Validity Date”. Client can choose the GTCO order validity date as less than or equal to the maximum validity date defined by ALMONDZ GLOBAL SECURITIES LIMITED. Client shall not be allowed to place orders with GTCO validity beyond maximum defined validity date.

Handling of GTCO orders in case of corporate actions

- Post Corporate Action, GTCO orders will be validated against DPR (Daily Price Range) sent by the exchange. Before revalidating the order for next trading day (post corporate action), system will check for circuit limits and daily price range and would validate orders only within the circuit limit and daily price ranges.
- The orders which would get failed in circuit check and daily price range for next day pumping would be kept in system in “GTCO Blocked” status for retry on subsequent trading day.
- Emails and SMS will be sent to the customers when the GTCO orders fall short of Funds / Securities or Blocked due to price beyond DPR range.

Updating Clients of upcoming Corporate Actions

All upcoming corporate actions including dividend, bonus, split, etc. shall be intimated to clients having unexecuted GTCO orders at least one day prior to the ex-date of the corporate action. Clients shall review their GTCO orders pro-actively whenever there may be impact of corporate action on their order/s. It would be the onus of the client to take appropriate action to modify / cancel orders accordingly.

Signature of client

**CKYC download & Aadhaar Consent Letter for Account Opening with Almondz
Global Securities Limited :**

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 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 am aware of others modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used to KRA agencies only for the specific purpose validating/ maintaining / sharing my KYC record and as audit evidence. I will have an option to request for deleting of my Aadhaar record. I hereby give my consent to download my KYC records from the Central KYC registry (CKYCR) only for the purpose of verification of my identity and address from the database of CKYC. I also hereby give my consent for receiving information including Central KYC Registry through SMS/Email on the above registered mobile 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 sharing my/our masked Aadhaar card with readable QR code of my Aadhaar XML/Dig locker XML file, along with pass code and applicable with SEBI, KRA, CKYC AND other institutions/agencies/intermediaries with whom I have a business relationship for KYC purposes only.

Name:-

Signature:-