

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- 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.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OC Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor or photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- 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:

- PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
- Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
- 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 and 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: (* Documents having an expiry date should be valid on the date of submission.)

- Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of

Residence/Driving License/Flat Maintenance bill/Insurance Copy.

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- 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.
- 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.
- For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(* Sufficient documentary evidence in support of such claims to be collected.)

- 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.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50,000/- p.a.
- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCI, 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:

- 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).
- 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 and DIN numbers of whole time directors/two directors in charge of day to day operations Photograph, POI, POA, PAN 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) Certificate of registration (for registered partnership firms only) Copy of partnership deed Authorised signatories list with specimen signatures Photograph, POI, POA, PAN of Partners
Trust	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year) Certificate of registration (for registered trust only). Copy of Trust deed List of trustees certified by managing trustees/CA Photograph, POI, POA, PAN of Trustees
HUF	<ul style="list-style-type: none"> PAN of HUF Deed of declaration of HUF/List of coparceners Bank pass-book/bank statement in the name of HUF Photograph, POI, POA, PAN 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 List of Managing Committee members Committee resolution for persons authorised to act as authorised signatories with specimen signatures True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant _____ PAN of the Applicant

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Sr. No.	PAN	Name	DIN (For Directors) / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

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(3)
Name & Signature of the Authorised Signatory(ies)

Date

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PEP: Politically Exposed Person **RPEP:** Related to Politically Exposed Person

Account Details Addition / Modification / Deletion Request Form

ALMONDZ GLOBAL SECURITIES LTD . F 33/3 Okhla Industrial Area Phase - II, New Delhi-110020
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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
DP ID	D D M M Y Y Y Y
Name of the Sole / First Holder	Client ID
Name of Second joint Holder	
Name of Third joint Holder	

Depository Participant Seal and Signature

FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATES / TRUSTS

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS/TRUSTEES/OF _____

LTD../TRUST AND HAVING ITS REGISTERED OFFICE AT _____

HELD ON _____ DAY OF _____

2009 AT _____ A.M./P.M.

RESOLVED THAT the Company / Trust be registered as CLIENT with Almondz Global Securities Ltd., Bombay Stock Exchange Ltd. (BSE), National Stock Exchange of India Ltd. (NSE), Over The Counter Exchange of India (OTC), the MCX Stock Exchange Ltd. and any other exchanges for the purpose of dealing in equities, derivatives, debentures, currency derivatives, debt & other products and the said Member be and is hereby authorised to honour instruction oral or written, given on behalf of the Company/Trust by any of the under noted authorised signatories:-

Sr. No.	Name	Designation
1.		
2.		
3.		

who are authorised to sell, purchase, transfer, endorse, negotiate, and/or otherwise deal with/through deal through Almondz Global Securities Ltd. on behalf of the Company/Trust.

RESOLVED FURTHER THAT Mr./Ms. _____

and/or Mr./Ms. _____

Directors / Trustees of the Company / Trust be and are hereby authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may deemed necessary or expedient to give effect to this resolution.

AND RESOLVED FURTHER THAT, the Common Seal of the Company be affixed, wherever necessary, in the presence of any Directors or of any one director and Company Secretary, who shall sign in token of their presence.

For _____ Ltd.

Chairman/Company Secretary/All Trustees

Specimen Signatures of the Authorised Persons

Sr. No.	Name	Specimen Signature



DECLARATION BY KARTA & ALL CO-PARCERNERS IN CASE OF HUF ACCOUNT

(This Declaration is to be obtained only if the Client is a HUF)

Almondz Global Securities Ltd.

F - 33/3, Okhla Industrial

Area, Phase - II,

New Delhi - 110020

A/c No. _____

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 Share Trading Account with Almondz Global Securities Ltd. (hereinafter referred as 'Member') We, undersigned, hereby confirm and declare that we are the present adult co-parceners of the said joint family; that _____ is the present karta of the said joint family.
2. We confirm that affairs of the H.U.F. firm are carried on mainly by the Karta _____ on behalf and in the interest and for the benefit of all the co-perceners WE hereby authorize the Karta _____ on behalf of the H.U.F. to deal on Capital market segment (CM), Futures and Options segment (F&O), Retail Debt Market segment (RDM) or any other segment that may be introduced by NSE/BSE in future and the said Trading Member is hereby authorized to honour all instructions oral or written, given by him on behalf of the H.U.F. Mr./Mrs _____ is authorized to sell, purchase, transfer, endorse, negotiate documents and/ / or otherwise deal through Almondz Global Securities Ltd. on behalf of the H.U.F. He is also authorized 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 H.U.F firm to the Member and agree and confirm that any claim due to the Member from the said H.U.F. 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, if any.
3. We undertake to advise the Member in writing of any change that may occur in the Kartaship or in the constitution of the said joint family or of said H.U.F. firm and until receipt of such notice by the Member which shall be binding on the said joint family and the said H.U.F 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 H.U.F. 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 birth of the present minor co-parceners of the said joint family are given below. We undertake to inform you in writing as and when each of the said members attains the age of majority and is authorized to act on behalf of, and bind the said H.U.F. Firm.

No.	Details of Members	Name	Age	Relationship	Sex	Address	Signature
1.	Karta						
2.	Co-parcener						
3.	Co-parcener						
4.	Co-parcener						
5.	Co-parcener						

No.	Name of the Minor	Father's Name	Date of Birth
1.			
2.			

*To be signed by the client alongwith rubber stamp only in case of HUF Account



AUTHORITY LETTER IN FAVOUR OF MANAGING PARTNERS

(To be obtained on pre-printed letter head of the firm)
(This Letter is to be obtained only if the client is a Partnership firm)

To,

Almondz Global Securities Ltd.

F - 33/3, Okhla Industrial

Area, Phase - II

New Delhi 110020

Dear Sir,

We refer to the trading account opened with you in the name M/s.

Dated:

We hereby authorise following partners severally on behalf of the firm:

Name of Partner	Designation	Specimen Signature
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____

to sign, execute and submit various papers and documents and to sell, purchase, transfer, endorse and negotiate and to do all acts and formalities that may be necessary to open and operate share trading account with Almondz Global Securities Ltd. on behalf of the firm.

We also authorise them to sign the authority letter for adjustment of balances in family accounts.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of the partnership firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations, pursuant to the trading operations, we authorize you to recognize the beneficiary account No. _____

with depository _____ having DP ID _____ opened as a joint account in the names of the all the partners of the firm.

I/We agree that the obligations for shares purchased and/or sold by the firm will be handled and completed through transfer to/from the above-mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

Yours Truly,

Name of Partner	Designation	Specimen Signature
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____

Instruction: Should be signed by all partners of the firm with rubber Stamp



FATCA / CRS DECLARATION FOR NON-INDIVIDUAL ACCOUNTS

Note : The information in this section is being collected because of enhancements to Almondz Global sec ltd new account on-boarding procedures in order to comply with Foreign Account Tax Compliance Act (FATCA) requirements pursuant to amendments made to Income-tax Act, 1961 read with Income-tax Rules, 1962:

Trading / Demat ID : _____

FATCA / CRS declaration and details for entities

(We are unable to provide advice about your FATCA classification or interpretation of any terms.
Please therefore seek advice from a tax professional on any FATCA aspects)

Part A – Preliminary details (All fields mandatory)

Sr No	Particulars	Details of Applicant		
1.	Permanent Account Number (PAN) of the entity <i>[if any]</i>			
2.	Name of the Entity			
3.	Address for Tax Residence (including city, state, country and pin code)			
4.	Address Type (Business or registered office)			
5.	Type of Entity			
6.	Do you satisfy any of the criteria mentioned below?			
	a. Is the entity a U.S. person	Yes <input type="checkbox"/> (Please answer b)	No <input type="checkbox"/> (Please go to c)	Entity's exemption code: _____ (Refer instruction 5 in
	b. Is the entity a Specified US Person	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
	c. Is the entity formed/incorporated outside India	Yes <input type="checkbox"/> No <input type="checkbox"/> <<If yes, please specify city and country of incorporation/formation>> (Please go to next question)		
	d. Is the entity having Tax Residency in any country (ies) other than India	Yes <input type="checkbox"/> << If yes, please provide the following details>>		
		No <input type="checkbox"/> (Please go to next question)	Country of Tax residency	Tax Identification No. / Functional equivalent of the foreign country
7.	Is the entity a Financial Institution (FI) {including an Foreign Financial Institution} Or A Direct Reporting NFFE	Yes <input type="checkbox"/> (Please fill Part B)	No <input type="checkbox"/> (Go to next question)	
8.	Is the entity a publicly traded corporation / a related entity of a publicly traded corporation / Active NFFE	Yes <input type="checkbox"/> (Please fill Part C)	No <input type="checkbox"/> (Please go to Part D)	

#In case Tax Identification Number is not available, kindly provide functional equivalent or Company Identification Number or Global Entity Identification

Part B – If your answer to question 7 in Part A is a YES, please provide details in relation to Financial Institutions/ Foreign Financial Institutions or Direct Reporting NFFEs

Particulars	Details of applicant
<p>The entity is:</p> <p>1. Financial Institution <input type="checkbox"/></p> <p>2. Direct Reporting NFFE <input type="checkbox"/></p>	<p>Global Intermediary Identification Number (GIIN)</p> <p>_____</p> <p><i>Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN and name below:</i></p> <p>Name of sponsoring entity: _____</p> <p>Sponsoring Entity's GIIN: _____ (If GIIN provided, please go directly to the declaration and acknowledgment)</p>
<p>If GIIN not available [tick any one]: (Not applicable to Direct Reporting NFFE)</p>	<p>a. Not obtained: <input type="checkbox"/> b. Applied for <input type="checkbox"/></p> <p>_____ [insert application date]</p> <p>c. GIIN not required</p> <p>Please specify reasons: _____</p> <p>Please insert code: _____</p>

Part C – If your answer to question 8 in Part A is a YES, please provide following details:

Sr No	Particulars	Details of applicant
1.	a. Are you a publicly traded company?	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>[Please fill C1(b)] (Please fill C2)</p>
	b. Are your shares regularly traded on a recognized stock exchange	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>(Please fill C2)</p> <p>If yes, please provide name of the stock exchange where the shares are regularly traded:</p> <p>1. _____ 2. _____</p> <p>(Please go to Declaration and Acknowledgment)</p>
2.	<p>Are you a related entity# of a listed company mentioned in Part C (1) above</p> <p><i># Related entity – An entity is a related entity of another entity if either entity controls the other entity or the two entities are under common control</i></p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Nature of relation with the related entity: (Please fill C3)</p> <p><input type="checkbox"/> Subsidiary of the listed company</p> <p><input type="checkbox"/> Controlled by a listed company</p> <p>If yes, please provide name of the related entity that is listed :</p> <p>_____</p> <p>Name of the stock exchange where the shares of the related listed entity are regularly traded:</p> <p>1. _____</p> <p>(Please go to Declaration and Acknowledgment)</p>
3.	Entity is an Active NFFE	<p>Please specify nature of business _____</p> <p>Category _____ (Refer codes in Instruction 3)</p> <p>(Provide UBO details in Part D and go to Declaration and Acknowledgment)</p>

Part D – If your answer to question 8 in Part A is a NO, please provide following details:

Entity is an Passive NFFE Entity is Active
 (other than Direct reporting NFFE)
 Please specify nature of business: _____

Provide details of all UBO/s or Controlling person/s, [natural persons as per PMLA] (including Owner Documented FFI's in the table below

Are you an Owner-documented FFI's - Yes No

If 'Yes', in addition to the below details, please provide a duly filled form W8BEN E along with FFI Owner Reporting Statement and Auditor's Letter.

If 'No', Please provide below details only.

Name of UBO	Date of Birth	Gender	Country of Tax residency	Nationality	Residence address for tax purposes	Fathers name (If PAN not available)	Tax identification number or equivalent & Tax identification/ functional equivalent document	Identification document: Passport/ PAN etc.	City and Country of Birth	UBO Code

Note: In case of a multiple intermediaries, please provide the shareholding / controlling structure of each such intermediary/ies.

- A. If any of the UBO is a resident / citizen of 'other than India' or citizen / tax resident / green card holder of country, please provide Taxpayer ID Number or equivalent / Social Security Number [SSN]
- B. Submit documentary proof like shareholding pattern duly self-attested by Authorized Signatory / Company Secretary
- C. If number of UBOs are greater than 4 or the space required is insufficient, information in the given format can be given in additional sheets

Please also fill the Beneficial Owner Customer Relation Form for the UBOs

Declaration & Acknowledgement	I / We _____ being the beneficial owner of the account opened / to be opened with Almondz global sect ltd and the income credited therein declare that the above information and information in the submitted documents to be true, correct and updated, and the submitted documents are genuine and duly executed I / We acknowledge that towards compliance with tax information sharing laws, such as FATCA / CRS, the Broker may be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from the account holder. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if the Broker does not receive a valid self-certification from me) the Broker may be obliged to share information on my account with relevant tax authorities. Should there be any change in any information provided by me, I ensure that I will intimate the Broker promptly, i.e., within 30 days. Towards compliance with such laws, the Broker may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, the Broker may also be constrained to withhold and pay out any sums from my account or close or suspend my account(s).			
Customer / Authorized person Signature & Designation				
Date				

Broker use section

Signature Verified by Sign & Emp Code Receiver's Stamp

Date

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.

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.
3. While sending email to request for freezing of their trading account, clients are requested to provide detailed information about the reason for the same.
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

Consent for sharing Aadhaar Details with SEBI/KRA Agencies.

Almondz Global Securities Ltd
F 33/3 Okhla Industrial Area
Phase 2 New Delhi 110020

I/We understand that Almondz Global Securities Ltd. is in the business of providing trading services for buying/selling of securities to its clients.

I/We am/are desirous for opening of Trading and Demat account with AGSL and 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 there in, 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 am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar *record* can be used by 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 for receiving information including Central KYC Registry through SMS/Email on the above registered mobile number/email address. I am/we are al so aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby con sent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Dig locker XML file, along with pass code and as applicable, with S>EBI, KRA, CKYC and other Institutions/ agencies/ Intermediaries with whom I have a business relationship for KYC purposes only.

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature			