

To,
The Manager
MLB Stock Broking Private Limited
 Door No. C-03, 3rd floor, CYB6 (Manohar) Tower,
 RIICO Cyber Park, Heavy Industrial Area,
 Near Saras Dairy, Jodhpur – 342003

I/We, _____ UCC: _____,
am/are maintaining a trading account with you. I/We would like to inform you that my/our email id
and/or contact number has been changed. I am/We are furnishing my/our new email id and/or
contact number:

You are requested to kindly update the same in all your records and send all alerts/communications/documents in my new email id/mobile number.



Place: _____

MLB STOCK BROKING PRIVATE LIMITED

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

Important Instructions:

- A) Fields marked with (*) are mandatory fields.
 B) Tick '✓' wherever applicable.
 C) Please fill the form in English and in BLOCK letters.
 D) Please fill the date in DD-MM-YYYY format.
 E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be update.
 F) Please read section wise detailed guidelines / instructions at the end.
 G) List of State /U.T. code as per Indian Motor Vehicle Act. 1988 is available at the end.
 H) List of two character ISO 3166 country codes is available at the end.
 I) KYC number of applicant is mandatory for update application.
 J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode



For office use only

Application Type*

☐ New☐ Update

(To be filled by financial institution)

KYC Number

(Mandatory for KYC update request)

Account Type*

☐ Normal☐ Minor☐ Aadhaar OTP based E-KYC (in non-face to face mode)☐ 1. PERSONAL DETAILS

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				
Date of Birth*				
Gender*	☐ M- Male	☐ F- Female	☐ T-Transgender	
PAN*		☐ Form 60 furnished		
Marital Status*	☐ Married	☐ Unmarried	☐ Others	
Citizenship*	☐ IN- Indian	☐ Others		
Residential Status*	☐ Resident Individual	☐ Non Resident Indian	☐ Person of Indian Origin	
	☐ Foreign National			
Occupation Type*	☐ S-Service (☐ Private Sector	☐ Public Sector	☐ Government Sector)	
	☐ O-Others (☐ Professional	☐ Self Employed	☐ Retired ☐ Housewife ☐ Student)	
	☐ B-Business			
	☐ X- Not Categorised			

PHOTO

 (1)

☐ 2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital kyc process needs to be submitted (anyone of the following OVDs)

☐ A-Passport Number	
☐ B-Voter ID card	
☐ C-Driving Licence	
☐ D-NREGA Job Card	
☐ E-National Population Register Letter	
☐ F-Proof of Possession of Aadhaar	
II. ☐ E-KYC Authentication	
III. ☐ Offline verification of Aadhaar	

Address

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

☐ 3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital kyc process needs to be submitted (anyone of the following OVDs)

☐ A-Passport Number	
☐ B-Voter ID card	
☐ C-Driving Licence	
☐ D-NREGA Job Card	
☐ E-National Population Register Letter	
☐ F-Proof of Possession of Aadhaar	
II. ☐ E-KYC Authentication	
III. ☐ Offline verification of Aadhaar	
IV. ☐ Deemed Proof of Address - Document Type code	
V. ☐ Self Declaration	

Address

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

☐ **4. CONTACT DETAILS** (All communication will be send to Mobile number/Email-ID provided) (Please refer instruction **C** at the end)

Tel. (Off)									Tel. (Res.)					Mobile						
Email ID																				

☐ **5. REMARKS** (If any)

☐ **6. REMARKS** (If any)

☐ **6. 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 : DD - MM - 20YY

Place :

(2)

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Office verification
☐ Digital KYC Process ☐ Equivalent e-document ☐ Video Based KYC

INSTITUTION DETAILS A KYC VERIFICATION CARRIED OUT BYName **MLB STOCK BROKING PRIVATE LIMITED** Code

Date DD - MM - 20YY

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

☐ **IN-PERSON VERIFICATION (IPV)**☐ **DOCUMENTS VERIFIED WITH ORIGINALS**☐ **CLIENT INTERVIEWED BY**

Date: dd / mm / 20yy

Employee / AP Details:

Name: _____

Code: _____

Designation: _____

Signature: _____

MLB STOCK BROKING PRIVATE LIMITED

'CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity/ Other than Individuals

Important Instructions:

- A) Fields marked with "*" are mandatory fields.
 B) Tick '✓' wherever applicable.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please fill the form in English and in BLOCK letters.
 E) KYC number of applicant is mandatory for update application.
- F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 G) List of two character ISO 3166 country codes is available at the end.
 H) Please read section wise detailed guidelines / instructions at the end.
 I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



For office use only

Application Type*

☐ New ☐ Update

(To be filled by financial institution) KYC Number

(Mandatory for KYC update request)

1. ENTITY DETAILS* (Please refer instruction A at the end)

☐ Name*

Entity Constitution Type*

☐ Others (Specify)

(Please refer instruction B at the end)

Date of Incorporation / Formation*

Date of Commencement of Business

Place of Incorporation / Formation*

Country of Incorporation / Formation*

TIN or Equivalent Issuing Country

PAN *

☐ Form 60 furnished

TIN / GST Registration Number

2. PROOF OF IDENTITY (PoI)* (Please refer instruction B at the end)

☐ Officially valid document(s) in respect of person authorised to transact

☐ Certificate of Incorporation / Formation

☐ Registration Certificate

Regn Certificate No.

☐ Memorandum and Articles of Association

☐ Partnership Deed

☐ Trust Deed

☐ Resolution of Board / Managing Committee

☐ Power of attorney granted to its manager, officers or employees to transact on its behalf

☐ Activity Proof - 1 (For Sole Proprietorship Only)

☐ Activity Proof - 2 (For Sole Proprietorship Only)

3. ADDRESS* (Please see instruction C at the end)

3.1 Registered Office Address / Place of Business*

Proof of Address*

☐ Certificate of Incorporation / Formation

☐ Registration Certificate

☐ Other Document

Line 1*

Line 2

Line 3

District*

PIN / Post Code*

State / U.T Code*

ISO 3166 Country Code*

3.2 Local Address in India (If different from Above)*

Line 1*

Line 2

Line 3

District*

PIN / Post Code*

State / U.T Code*

ISO 3166 Country Code*

4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided" may be used) (Please refer instruction D at the end)

Tel. (Off)

FAX

Mobile

Email ID

Mobile

Email ID

5. NUMBER OF RELATED PERSONS

(Please refer instruction E at the end)

H. DEALING THROUGH AUTHORISED PERSONS (AP) AND OTHER STOCK BROKERS / MEMBERS

If client is dealing through the Authorised Person any other Member, provide the following details (in case dealing with multiple Members, provide details of all in a separate sheet containing all the information as mentioned below):

AP Name: _____ AP Registration Number: _____

Registered office address: _____

Phone: _____ Mobile: _____ Fax: _____

Website: _____

Whether dealing with any other Stock Broker / Authorised Person(in case dealing with multiple stock brokers /authorised persons, provide details of all in a separate sheet containing all the information as mentioned below):

Name of Stock Broker/ Authorised Person: _____

Exchange's Registration Number: _____ Client Code: _____ Exchange: _____

Concerned Member's name with whom AP is registered: _____

Registered office address: _____

Phone: _____ Mobile: _____ Fax: _____

Website: _____

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

I. ADDITIONAL DETAILS / STANDING INSTRUCTION

Whether you wish to receive Contract Notes, Statement of Accounts, Margin Reports, Standard KYC documents and other documents from Member in electronic form on your E-mail-id : ☐ Yes ☐ No

Specify your email id, if applicable _____

Whether you wish to avail the facility of Internet Trading / wireless technology: ☐ Yes ☐ No

In case of non-individual, name, designation, PAN, UID, signature, residential address and photographs of the person authorized to deal in securities/commodities on behalf of the company/firm/others (*Please Attach Annexure*).

Any other information: _____

J. INTRODUCER DETAILS (Optional)

Name of the Introducer: _____

Status of Introducer: ☐ Branch Manager ☐ Authorised Person ☐ Remisier

☐ Existing Client ☐ Others (please specify) _____

Address of the Introducer: _____

City _____ Pincode _____ State _____

UCC of the Introducer (if any): _____ Branch/Employee Code: _____

Phone No. _____ Mobile No. _____ Email _____

Signature of the Introducer: _____

CONSENT FORM FOR RECEIVING TRADE ALERTS THROUGH SMS and/or E-mail

To,
MLB STOCK BROKING PRIVATE LIMITED
 Door No. C-03, 3rd floor, CYB6 (Manohar) Tower,
 RIICO Cyber Park, Heavy Industrial Area,
 Near Saras Dairy, Jodhpur – 342003

Dear Sir,

I/We, _____, a client with MLB Stock Broking Private Limited, member of National Stock Exchange of India Limited (NSE), BSE Limited (BSE), undertake as follows:

- l I/We am/are aware that NSE / BSE provides the details of the trades executed on its trading platforms to the concerned clients / constituents through SMS and Email Alerts.
- l I/We am/are aware that the Exchanges have to provide the trade details through SMS/E-mail alerts for my convenience at my request only.
- l I/We hereby confirm that I/We wish to receive the trades alerts through:

a) SMS:

b) E-mail:

c) SMS and E-mail:

- l The alerts should be sent on

Mobile Number:

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Email address: _____

I/We hereby agree to the terms and conditions specified by the Exchanges and circulars / notices/ clarifications issued by the Exchanges from time to time in this regard. We are also aware that this is an additional facility provided by the Exchange and we shall not solely rely or use such data for any purpose and, Exchanges shall not be liable for any direct or indirect loss of any nature because of providing this additional facility.

Client Name: _____

Unique Client Code: _____ PAN: _____

Add: _____

Date : _dd_ / _mm_ / _yyyy_

Place: _____

Signature of the Client

2. Authorisation to issue ECN's and any documents/communications in electronic form by Email: ☐ Yes ☐ No

- a) I/we give my/our consent and authorize MLB to send the digitally signed Contract Notes / Statement of Funds and Securities and/or Commodities / Ledger Statements / Margin Statements / Confirmations / any other documents and correspondence to my/our email id _____
- b) I/We hereby confirm and certify that I/we am/are fully aware of the provisions of the Information Technology Act, 2000 and the rules & regulations as framed by SEBI and Exchange(s) in this regard. I/We agree that digitally signed Contract Notes (ECN) / Statements / Documents / Correspondence sent to my/our email id as above shall be binding upon me/us and shall be deemed to have been given as if in the paper form. I/We undertake to check the contract notes and other documents sent to me in electronic form and bring the discrepancies, if any, to your notice within 24 hours and 7 days respectively of such issuance of contract notes and other documents. My/our non-verification or not accessing the contract notes other documents on regular basis shall not be a reason for disputing the contracts note and other documents at any time. I/We agree to the terms and conditions for issuance of ECN's and other documents in electronic form mentioned herein below.

Terms and conditions for issuance of contract notes and other documents in electronic form:

- i. The ECNs and other documents will be issued in electronic form in compliance with the guidelines issued by SEBI/Exchange(s) from time to time.
- ii. ECNs and other documents will be mailed to the E-mail address provided to MLB in the KYC information as prescribed by the Exchange(s) from time to time.
- iii. It will be client's responsibility to regularly check the mailbox and keep the storage space for new email messages.
- iv. Discrepancies, if any, should be sent to the Head office/ branch office or to E-mail at care@mlbstocks.com within the time frame mentioned above.
- v. ECNs and other documents will also be available at URL www.mlbstocks.com.
- vi. Clients can view the ECNs and other documents using the username & password through the above URL in a secured way apart from the ECNs and other documents sent to the client through email.
- vii. The ECNs will be archived at an interval of 15 days. If the client intends to view the ECNs for a period prior to 15 days client may request for the same in writing. We may charge client for the same.
- viii. In case of any failure in system or errors in ECNs or other documents, ECNs and/or other documents will be issued in the physical form, which shall be binding on the client.
- ix. The client is responsible for promptly intimating to MLB through a letter or email, any change in email ID on which the client wants to receive the ECN's and other documents from MLB.
- x. I/We confirm that this authorization has been given at my/our discretion and I/we have the right to terminate this authorization at anytime by giving a notice in writing.
- xi. Any changes in the terms and conditions shall be intimated from time to time.

3. Authorisation to send SMS alert for Balance and Trade confirmation: ☐ Yes ☐ No

- i. I/we give my/our consent and authorize MLB to send SMS alert for trades and account balance for transaction carried on by me/us with MLB to my/our mobile number _____
- ii. I/We undertake to check the SMS alerts and bring the discrepancies, if any, to the notice of MLB by a letter or email within 24 hours of the receipt of SMS. My/our non-verification or not checking the SMS alerts on real time basis shall not be a reason for disputing the Trade and Account balance alerts at any time. I/We agree to the terms and conditions for receiving the SMS alert for Balance and Trade confirmation mentioned herein below.

Terms and conditions for receiving SMS alert for Balance and Trade confirmation:

The service will be available to those clients who have provided their mobile number to MLB. The service may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as maybe warranted. MLB may also discontinue the service at any time without giving any prior notice for any reason whatsoever.

The SMS facility will be provided to the clients only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider. The readability, timeliness and accuracy of providing the service depend on many factors including the infrastructure, connectivity of the service provider. MLB shall not be responsible for any non-delivery/delay in delivery or distortion of the alert in anyway whatsoever. The service is currently available to the clients residing in India.

Signature of the Client

In case of non-individual clients the service will only be available to one mobile number registered at the time of registration/modification.

The client acknowledges that the SMS alerts will be received only if the mobile number is 'Active/ON' and in a mode to receive 'SMS'. If the mobile number is in 'Inactive/OFF' mode i.e. unable to receive the alerts then the client may not get/get after delay the alerts sent during such period.

The client is responsible for promptly intimating to MLB through a letter or email, any change in mobile number or loss of handset, on which the client wants to receive SMS alerts from MLB. MLB shall make every effort to change/update the mobile number within a reasonable period of time. In case of change in mobile number not intimated to MLB, the SMS facility will continue to be sent to the last registered mobile number. The client agrees to indemnify MLB from any loss or manage suffered by it on account of account of such circumstances.

The SMS alerts sent on the mobile number furnished above shall be deemed to have been received by the client and MLB shall not be under any obligation to confirm the authenticity of the person(s) receiving the alerts. If the client finds that the information such as mobile number etc. has been changed without prior authorization, the client should immediately inform MLB in writing.

The client confirms that this mandate has been given by him/her/them and he/she/they have the right to terminate this mandate at any time by giving a notice to MLB in writing.

The client undertakes that the mobile number is registered in his/her/their name and he/she/they have written the same in the above box.

Any changes in the terms and conditions shall be intimated from time to time.

Signature of the Client

Client Name: _____