

REACTIVATION OF INACTIVE/DORMANT TRADING ACCOUNT**FOR INDIVIDUAL**

To,

Date: DD / MM / YYYY**MLB Stock Broking Private Limited**

Door No. C-03, 3rd floor, CYB6 (Manohar) Tower,

RIICO Cyber Park, Heavy Industrial Area,

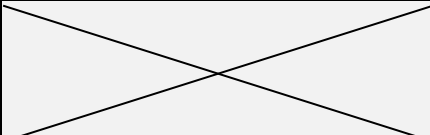
Near Saras Dairy, Jodhpur – 342003

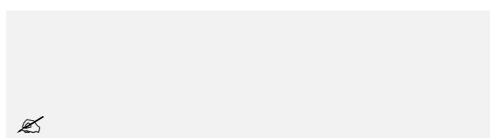
Sub: Request for reactivation of my trading account no. _____

Dear Sir/Madam,

I am maintaining the captioned trading account with you since _____. Due to some unavoidable circumstances, I could not trade in my said account from the last _____ year(s) and presently, my said account is in the state of dormant/inactive.

I have decided to restart trading activity in my said account and thus, I would request you to reactivate my trading account based on the following information:

Client Name				
Annual Income Details (In Rs.) OR Net Worth	☐ Below 1Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ >25 Lac OR Rs. _____			<u>DD/MM/YYYY</u>
☐ Salary Slip ☐ Copy of Annual Accounts ☐ Copy of Form 16 in case of salary income ☐ Net worth certificate ☐ Copy of ITR Acknowledgement ☐ Bank account statement for last 6 months ☐ Copy of latest Demat account Holding statement ☐ Any other relevant documents substantiating ownership of assets				
Politically Exposed Person (PEP)	☐ Not a PEP ☐ PEP ☐ Related to a PEP ☐ Not Related to a PEP			
Bank Account Details ☐ Addition ☐ Change ☐ No change	Bank Name			
	Branch Add.			
	A/c. No.		A/c. type	
	MICR No.		IFSC Code	
Depository Account Details ☐ Addition ☐ Change ☐ No change)	DP Name			☐ NSDL ☐ CDSL
	DP ID		Client ID	
Trading Preferences (please sign for the segment you want to activate)	NSE	☐ Cash	☐ F&O	
	BSE	☐ Cash		



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		
	☐ Foreign National	☐ Person of Indian Origin		
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 (MLB)**Registered Office Address:**

Door No. C-03, 3rd floor, CYB6 (Manohar) Tower, RIICO Cyber Park,
Heavy Industrial Area, Near Saras Dairy, Jodhpur – 342003, Ph no. +91 291 2942911,

FATCA / CRS DECLARATION FORM**FOR INDIVIDUALS****A. FATCA & CRS INFORMATION (SELF CERTIFICATION)**

Client Name			
Trading Account No.			
PAN			
Type of address given at KRA	☐ Residential ☐ Business ☐ Residential / Business ☐ Registered Office		
Address for Tax purpose	☐ Same as mailing address ☐ Same as permanent address		
Nationality	Gender	Date of Birth	
Mobile	Place of Birth	Country of Birth	
Father's Name			
Spouse's Name			
Document's required other than PAN	Please refer reverse page (Instruction)		
Identification Number of the document provided			
Is the applicant / guardian's Country of Birth / Citizenship / Nationality / Tax Residency other than India	Yes	No	
If yes, please indicate all countries in which are you resident for tax purposes and associated Tax Id Numbers below			
S No.	Country of Tax Residency#	Tax Payer Identification Number^	Identification Type (TIN or other, please specify)

to also include USA, where the individuals is a citizen / green card holder of USA.

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

B. ADDITIONAL KYC INFORMATION

Occupation Details (Please tick)	Please refer reverse page (Instruction)
Gross Annual Income (Rs.) [Please tick]	☐ Below 1 Lac ☐ 1– 5 Lacs ☐ 5 – 10 Lacs ☐ 10 – 25 Lacs ☐ > 25 Lacs
Politically Exposed Person (PEP) Status *	☐ I am PEP ☐ I am Related to PEP ☐ Not Applicable

* 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.

C. DECLARATIONS

- I. I understand that MLB is relying on this information for the purpose of determining my status in compliance with FATCA/CRS. MLB is not able to offer and tax advice on FATCA/CRS or its impact. I shall seek advice from professional tax advisor for any tax questions.
- ii. I agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- iii. I agree that as may be required by domestic regulations/tax authorities MLB may also required to inform reportable details to **CBDT** or close or suspend my account.
- iv. I certify that I provide the information on this form and to the best of my knowledge and belief the certification is true, correct, and complete including the taxpayer identification number / functional equivalent number of the applicant.

Name :	Signature	Date (dd-mm-yyyy)

Terms & Conditions	
- The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income Tax Rules, 1962, which require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certification and documentation from all our unit holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding or any proceeds in relations thereto. - Should there be any change in any information provided by you, please ensure you advise promptly, i.e. within 30 days. - Please note that you may receive more than one request for information if you have multiple relationships with us or our group companies. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information. - It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issue such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form. - If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Identification Number. - In case Investor has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, investor to provide relevant Curing documents as mentioned below :	
FATCA / CRS Indicia observed	Documentation required for Cure of FATCA / CRS Indicia
U.S. Place of birth	- Self-certification that the account holder is neither a citizen of USA nor a resident for tax purposes. - Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below)AND - Any one of the following documents: - Certified copy of Certificate of Loss of Nationality or - Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain US citizenship at birth.
Residence / mailing address in a country other than India	- Self-certification that the account holder is neither a citizen of US nor a tax resident of any country other than India; AND - Documentary evidence (refer list below)
Telephone number in a country other than India	<i>If no Indian telephone number is provided</i> - Self-certification that the account holder is neither a citizen of US nor a tax resident of any country other than India; AND - Documentary evidence (refer list below) <i>If Indian telephone number is provided alongwith a foreign country telephone number</i> - Self-certification that the account holder is neither a citizen of US nor a tax resident of any country other than India; AND - Documentary evidence (refer list below)

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

- Certificate of residence issued by an authorised government body.
- Valid identification issued by an authorised government body

List of occupation

- Service
- Student
- Professional
- Housewife
- Retired
- Proprietorship
- Others (Please specify)

INFORMATION PROVIDED BY CLIENT IN RELATION TO THE PREVENTION OF MONEY LAUNDERING ACT, 2002
Date: dd / mm / yyyy

Client Name: _____ Client Code: _____

If Business / Profession: Nature of Business: _____

Industry: _____

Details of my/our Relatives, having account with MLB Stock Broking Pvt. Ltd. (MLB):

Sl.No.	Name	Relationship	UCC (Client Code)

Details of the Corporate / Partnership Firm / Trust etc. where I/we am/are affiliated:

Sl.No.	Name	Entity Type	Nature of business	Relationship	UCC (Client Code)

I/We agree to submit every year any one of following documents to MLB :

- | | |
|--|--|
| 1. Profit and Loss Account and Balance Sheet | 2. Form No. 16 (Salary Certificate) |
| 3. Networth Certificate | 4. Self attested copy of ITR |
| 5. Bank Statement and Demat Statement (for 6 months) | 6. Any other documents providing financial details of client |

I/We confirm that I/we will immediately inform MSBPL in case I/we am/are convicted under any grounds or any action is taken against me/us by any authority(ies).

- ☐ I/ We hereby declare that I / We do not fall under the Clients of Special Category as defined in Prevention of Money Laundering Act, 2002, or
- ☐ I/ We declare that I/ We fall under Clients of Special Category as defined in Prevention of Money Laundering Act, 2002 (choose the relevant category as under):

☐ Non resident Client ☐ High Net-worth Clients ☐ Trusts, Charities, Non- Governmental Organizations (NGOs) and organizations receiving donations ☐ Companies having close family share holdings or beneficial ownership ☐ Politically Exposed Persons Companies offering foreign exchange offerings ☐ Clients in high risk countries where existence / effectiveness of money laundering controls is suspect etc. ☐ Non face to face client ☐ Clients with dubious reputation as per public information available etc.

I/We intend to invest in the stock market with: ☐ Own Funds: ☐ Borrowed Funds
 (If Borrowed Funds, then please specify below Sources of Funds):

Sources of Borrowed Funds (if any)	Amount (Rs.)

I/We hereby declare that I/we am/are the beneficial owner of the Trading/Online Account opened with MLB.

Signature of the Client**FOR OFFICE USE ONLY**Risk Category: ☐ High Risk ☐ Medium Risk ☐ Low Risk