



Annexure - 1 - Dormant Account - Request for reactivation

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To,

MUTHOOT SECURITIES LIMITED  
I Floor, Alpha Plaza, K P Vallon Road,  
Kadavanthara, Kochi - 682020

Sub : REACTIVATION OF DORMANT ACCOUNT

Ref : Trading Code \_\_\_\_\_

Dear Sir,

I/We, \_\_\_\_\_ (Client name) maintaining a trading account with you under the Unique Client Code \_\_\_\_\_ at your \_\_\_\_\_ Branch . However, as I/we have not yet commenced transacting with you since registration, you have marked my/our account as Dormant. As I/we wish to transact with you now, I/we request you to kindly reactivate my/our trading account and allow trading. The required KYC application Format, Annexure 1(A) along with the supporting proofs and the initial payment cheque for an amount of Rs. \_\_\_\_\_ /- bearing cheque number \_\_\_\_\_ drawn from \_\_\_\_\_ Bank, \_\_\_\_\_ Branch is also enclosed herewith.

Yours faithfully,

Signature :

Name :

Mobile No :

E-mail id :

*Note : To be taken on letter head in case of non individual accounts*

**KNOW YOUR CLIENT (KYC) APPLICATION FORM**

**PART I (For Individuals)**

*Please fill this form in ENGLISH and in BLOCK LETTERS.*

**PHOTOGRAPH**

Please affix your recent passport size photograph and sign across it

X<sup>1</sup>

**A. IDENTITY DETAILS**

1	Name of the Applicant													
2	Father's/ Spouse Name													
3	a) Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	b) Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married	c) Date of Birth (dd/mm/yyyy)											
4	a) Nationality <input type="checkbox"/> Indian <input type="checkbox"/> Other (Please specify, _____)	b) Status <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National												
5	a) Permanent Account Number (PAN)													
	b) Unique Identification Number (UID) / Aadhaar, if any													
6	Specify the proof of Identity submitted	<input type="checkbox"/> PAN Card <input type="checkbox"/> Any Other (Please Specify, _____)												

**B. ADDRESS DETAILS**

1	Correspondence Address													
		Landmark:												
		City / Town / Village:								PIN				
		State:						Country:						
2	Specify the proof of address submitted for correspondence address													
3	Contact Details	Tel. (Off.)						Tel. (Res.)						
		Fax No.						Mobile No.						
		Email Id												
4	Permanent Address (If different from above. Mandatory for Non-Resident Applicant to specify overseas address)													
		City/ Town/ Village:								PIN				
		State:						Country:						
5	Specify the proof of address submitted for permanent address													

### C. OTHER DETAILS

1	Gross Annual Income Details (Please specify):		
	Income Range Per Annum	<b>OR</b>	Networth
<input type="checkbox"/> Below Rs. 1 Lac <input type="checkbox"/> Rs. 1 - 5 Lac <input type="checkbox"/> Rs. 5 - 10 Lac <input type="checkbox"/> Rs. 10 - 25 Lac <input type="checkbox"/> Above Rs. 25 Lac	Amount (Rs.) _____ As on (date) ____/____/_____ (Networth should not be older than 1 Year)		
2	Occupation (Please tick any one and brief details): _____		
	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Agriculture <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify, _____)		
3	Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (PEP)		
4	Any other information:		

### D. 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.

**X2** \_\_\_\_\_

**Signature of the Applicant**

**Date:** \_\_\_\_/\_\_\_\_/\_\_\_\_\_  
(dd/mm/yyyy)

### FOR OFFICE USE ONLY

- In-Person Verification Done on \_\_\_\_/\_\_\_\_/\_\_\_\_
- (Originals verified) True copies of documents received
- (Self-Attested) Self Certified Document copies received

Name of the Authorised Signatory	
Signature of the Authorised Signatory	
Place:	Seal / Stamp of the Intermediary
Date:	

**TRADING ACCOUNT RELATED DETAILS**  
(For Individuals)

**A. BANK ACCOUNT DETAILS**

1	Bank Name												
2	Branch Address												
3	Bank A/c No												
4	Bank A/c Type	Resident	<input type="checkbox"/> Savings A/c	<input type="checkbox"/> Current A/c	<input type="checkbox"/> Others (Please specify, _____ )								
		NRI	<input type="checkbox"/> NRE	<input type="checkbox"/> NRO									
5	MICR Code												
6	IFSC Code												

**B. DEPOSITORY ACCOUNT DETAILS**

1	Depository Participant Name												
2	Depository Name	<input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL										
3	Beneficiary Name												
4	DP Id												
5	Beneficiary Id (Client BO Id)												

**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.*

Exchange	Segment		Exchange	Segment	
NSE	Cash	<b>X3</b>	BSE	Cash	<b>X3</b>
	F&O	<b>X3</b>		F&O	<b>X3</b>
	Currency Derivatives	<b>X3</b>		Currency Derivatives	<b>X3</b>
MCX - SX	Currency Derivatives	<b>X3</b>			

*# If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.*

**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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**E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS**

*If client is dealing through the Sub-Broker/ Authorised Person, provide the following details:*

1	Sub Broker / Authorised Person		
2	Name		
3	SEBI Registration Number		
4	Registered Office Address		
5	Phone	Fax	Website

Whether dealing with any other Stock Broker/Sub-Broker (if case dealing with multiple Stock Brokers/Sub-Brokers, provide details of all)

1	Name of Stock Broker		
2	Name of Sub-Broker, if any		
3	Client Code		
4	Exchange	Fax	Website

Details of disputes/dues pending from/to such Stock Broker/Sub-Broker:

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#### F. ADDITIONAL DETAILS

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

Physical Contract Note	<input type="checkbox"/> Yes <input type="checkbox"/> No	<b>X4</b>
Digital Contract Note	<input type="checkbox"/> Yes <input type="checkbox"/> No	<b>X4</b>
Email Id:		

*If opted for Digital Contract Note, kindly provide your specific consent in the enclosed voluntary document.*

2	Whether you wish to avail of the facility of Internet Trading/ Wireless Technology (please specify):	
3	Number of years of Investment / Trading Experience:	
4	Any other information:	
5	In case of Non-Individuals, Name, Designation, PAN, UID, Signature, Residential Address and Photograph of Persons authorized to deal in securities on behalf of company/firm/others has to be provided separately.	

#### G. INTRODUCER DETAILS (Optional)

Name of the Introducer			
Status of the Introducer	<input type="checkbox"/> Employee <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others (Please specify, _____)		
Introducer Code			
Address of the Introducer	City :	<b>Signature of the Introducer</b>	
	State: PIN:		
Phone No. of the Introducer			

#### DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Place: **X5**

Date: *Signature of Client/ (all) Authorized Signatory (ies)*

**AUTHORISATION FOR DIGITAL CONTRACT NOTES**

I / We have been / shall be dealing through you as my / our broker on the Capital Market and / or Futures & Options Segments / Currency Derivative Segments. As my / our broker i.e. agent I / we direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below.

I / We understand that, I / we have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I / we hereby opt for receipt of contract notes in electronic form. I / We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account(s) / email id on your record for sending the contract notes to me / us.

Email: \_\_\_\_\_ **X6**

I / we agree not to hold you responsible for late / non - receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email servers, loss of connectivity, email in transit etc. I / we agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me / us and such dispatch shall be deemed to mean receipt by me / us and shall not be disputed by me / us on account of any non-receipt / delayed receipt for any reason whatsoever.

I / We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my / our email account(s) / email id(s).

I / We understand that I am required to intimate any change in the email id / email account mentioned hereinabove needs to be communicated by me through a physical letter to you, provided however that if I / we am / are an internet client, then in that event the request for change in email id / email account can be made by me / us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my / our verbal directions / authorisations given and carried out by you earlier. I / We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

Thanking you,

Yours faithfully,

*Signature of the client* **X7**

**Place:**

**Name:** .....

**Date:**

(Note : To be signed by person himself / herself not to be signed by his / her attorney / authorised person etc.)

**Know Your Client (KYC)  
Application Form (For Individuals Only)**



Application No. :

Please fill in ENGLISH and in BLOCK LETTERS with black ink

"Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back). If printed separately then both the pages should be attached and signed by the applicant."

**A. Identity Details (please see guidelines overleaf)**

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

2. Gender  Male  Female    **B. Marital status**  Single  Married    **C. Date of Birth** | d | d | / | m | m | / | y | y | y | y |

3. Nationality  Indian  Other (Please specify) \_\_\_\_\_

4. Status Please tick (✓)  Resident Individual  Non Resident  Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN  Please enclose a duly attested copy of your PAN Card

Unique Identification Number (UID)/Aadhaar, if any: \_\_\_\_\_

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

UID (Aadhaar)  Passport  Voter ID  Driving Licence  Others \_\_\_\_\_

**PHOTOGRAPH**

Please affix  
the recent passport  
size photograph and  
sign across it

(Please see guideline 'D' overleaf)

**B. Address Details (please see guidelines overleaf)**

1. Address for Correspondence

<input type="text"/>	<input type="text"/>
City / Town / Village	Pin Code
State	Country

2. Contact Details

Tel. (Off.) (ISD) (STD)	Tel. (Res.) (ISD) (STD)
Mobile (ISD) (STD)	Fax (ISD) (STD)
E-Mail Id.	

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

- Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please specify) \_\_\_\_\_  
 \*Not more than 3 Months old. Validity/Expiry date of proof of address submitted | d | d | / | m | m | / | y | y | y | y |

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

<input type="text"/>	<input type="text"/>
City / Town / Village	Pin Code
State	Country

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

- Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please specify) \_\_\_\_\_  
 \*Not more than 3 Months old. Validity/Expiry date of proof of address submitted | d | d | / | m | m | / | y | y | y | y |

**C. Other Details (please see guidelines overleaf)**

1. Gross Annual Income Details (Please tick (✓):  Below 1 Lac  1-5 Lac  5-10 Lac  10-25 Lac  > 25 Lacs

OR

Net-worth in ₹. (\*Net worth should not be older than 1 year) \_\_\_\_\_ as on (date) | d | d | / | m | m | / | y | y | y | y |

2. Occupation (Please tick (✓) any one and give brief details):

- Private Sector Service  Public Sector  Government Service  Business  Professional  Agriculturist  Retired  
 Housewife  Student  Forex Dealer  Others (Please specify) \_\_\_\_\_

3. Please tick, if applicable:  Politically Exposed Person  Related to a Politically Exposed Person

For definition of PEP, please refer guideline overleaf

4. Any other information: \_\_\_\_\_

**DECLARATION**

**SIGNATURE OF APPLICANT**

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

Place:

Date:

**FOR OFFICE USE ONLY**

IPV Done  on | d | d | / | m | m | / | y | y | y | y |

AMC/Intermediary name OR code \_\_\_\_\_

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary \_\_\_\_\_

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals,(allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

### B. Proof of Identity (POI): List of documents admissible as Proof of Identity:

1. 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).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

### C. Proof of Address (POA): List of documents admissible as Proof of Address: (\*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale

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

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

### D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

### E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.