



# COCHIN STOCK BROKERS LIMITED

A SUBSIDIARY OF CSE HOLDINGS LIMITED

Regd. Office: MES Dr. P K Abdul Gafoor Memorial Complex, 65/608 – A 17, 4th Floor,

Judges Avenue, Kaloor, Cochin – 682017. Phone : 0484-4865174, 8075268724

Compliance Officer : Paul Raphael Phone : 0484-4874522

Email id for investor complaints: csbl\_grievance@csbl.co.in

## Know Your Client (KYC) For Existing Clients Application Form (For Individuals Only)

For activation of New  Exchange,  Segments,  Periodical review,  Dormant Account.

### A. Identity Details

Date : \_\_\_\_\_

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  /  /

3. Nationality  Indian  Other .....

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

5. PAN  6. Client Code

7. Unique Identification Number (UID)/Aadhaar, if any: .....

### B. Address Details

1. Address for Correspondence ( Proof required if any change )

City / Town / Village  Pin Code

State  Country

2. Contact Details

Tel. (Off.)  Tel. (Res.)

Mobile  This Mobile No. is my -  Own,  Spouse,  Dependant Parent/Child

E-Mail Id.

This E-mail ID is my  Own,  Spouse,  Dependant Parent/Child

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 BSNL Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

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

City / Town / Village  Pin Code

State  Country

### C. Other Details.

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)

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

4. Proof/s given (Self attested copies) .....

D. Bank Details : Bank Name: ..... Branch: .....

Bank A/c No. .... A/c. Type ..... IFSC

E. Depository A/c. Details: DP Name ..... BO ID

### DECLARATION

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: \_\_\_\_\_

X 1 SIGNATURE OF THE CLIENT

P. T. O.

**F. TRADING PREFERENCES**

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

Exchanges		NSE, BSE & MSEI		MSEI MCX, NCDEX, BSE & NSE		BROKERAGE STRUCTURE			
All Segments	Cash/ Mutual Fund	F & O	Currency	Debt	Commodity Derivatives	SEGMENTS		PERCENTAGE	MINIMUM PAISE
						EQUITY Min. Rs. 15 /- per contract	Same day square off Delivery		
<input checked="" type="checkbox"/> X2	<input checked="" type="checkbox"/> X2	<input checked="" type="checkbox"/> X2	<input checked="" type="checkbox"/> X2	<input checked="" type="checkbox"/> X2	<input checked="" type="checkbox"/> X2	FUTURES			
						OPTIONS		Rs.	per lot
						CURRENCY DERIVATIVES			
						MUTUAL FUND			
If you do not wish to trade in any of the segments/Mutual Fund, please mention here _____						<input checked="" type="checkbox"/> X 3 Signature of the Client:			

\* 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.

G Whether any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant No  Yes  If Yes, Please specify.....

H. Whether you wish to receive physical contract note or Electronic Contract Note (ECN) - (please specify) ..... If ECN Please Specify E-mail ID .....

I. Whether you wish to avail SMS / E-mail trade confirmation providing by the Exchanges. No  Yes  X 4

J. Whether you wish to avail of the facility of internet trading/ wireless technology  Yes /  No  
(If Yes, please specify) :  NEST Trader Web  NEST Mobile  NOW  Fastrade

K. VOLUNTARY - I / We request you to settle my / our account for funds and securities on a Quarterly  OR Monthly  basis. (Tick any one)  Clients signature..... X 5  
or such other higher period as allowed by SEBI/Stock Exchange time to time.

L. NOMINATION DETAILS (for individuals only)  I/We wish to nominate  I/We do not wish to nominate

If wish to nominate put  Clients signature..... X 6

Name of the Nominee: ..... Relationship.....

Address and Phone no. of the Nominee: .....

PAN of Nominee: ..... Date of Birth of Nominee: ..... If Minor

Name and Address of Guardian.....

Signature of Guardian.....

WITNESSES (Only applicable in case the account holder has made nomination)

Name : ..... Name : .....

Signature : ..... Signature : .....

Address : ..... Address : .....

**FOR OFFICE USE ONLY**

IPV Done on  /  /

For CSBL office use only

Sub Broker details :- (Seal & Signature)

Staff Name :

Designation :

Name of the Organization :

Signature :

Date .....

Date .....

**VOLUNTARY DOCUMENT**  
**Demat Debit and Pledge Instruction (DDPI)**

*Special  
Adhesive  
Stamp  
Rs. 100 /-*

**Date:**

To,

Cochin Stock Brokers Limited

Dear Sir/Madam,

I/We,.....  
1..... (Name).....  
..... ( Address).  
2..... (Name).....  
..... ( Address).  
3..... (Name).....  
..... ( Address).

hereby explicitly agree and give consent to authorize Cochin Stock Brokers Limited (CSBL), to access my/our below mentioned Demat/Beneficial Owner (BO) Account for the limited purposes as listed below. Accordingly, I/We hereby, authorize CSBL to do the following:-

Sr. No.	Purpose	Signature of the client with Seal
1	Transfer of securities held in my/our above beneficial owner account towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me/us on the Stock Exchanges through Cochin Stock Brokers Limited	1st Holder (X 18) 
		2nd Holder (X 19) 
		3rd Holder (X 20) 
2	Pledging / re-pledging of securities in favour of Cochin Stock Brokers Limited, the trading member (TM) / clearing member (CM) / clearing corporation (CC) for the purpose of meeting my/our margin requirements in connection with the trades executed by me or us on the Stock Exchanges.	1st Holder (X 21) 
		2nd Holder (X 22) 
		3rd Holder (X 23) 
3	Mutual Fund transactions being executed by me/us on stock exchange order entry platforms	1st Holder (X 24) 
		2nd Holder (X 25) 
		3rd Holder (X 26) 
4	Tendering shares in open offers by me/us through Stock Exchange platforms	1st Holder (X 27) 
		2nd Holder (X 28) 
		3rd Holder (X 29) 

I / We hereby authorize M/s Cochin Stock Brokers Limited to transfer the securities from my /our beneficiary account to the given demat accounts as mentioned herein below towards delivery settlement arising out of trades executed on the Stock Exchanges and Pledging / Re-pledging of securities in favour of trading member (TM) / clearing member (CM) / clearing corporation (CC) towards meeting margin requirements

Depository Beneficial ID	Demat A/c Purpose
1100001100014631	NSE Early Payin A/c
1100001000013821	BSE Early Payin A/c
1202390000000685	NSE CDSL Pool A/c
1202390000000419	BSE Principal A/c
1202390000410885	TM/CM - Client's Securities Margin Pledge A/c.
1202390000412688	NSE Securities Lending & Borrowing Scheme (SLBS)

I / We hereby agree that all such acts done on my behalf by Cochin Stock Brokers Limited shall be deemed to be acts done by me / us .

This is a Revocable Demat Debit and Pledge Instruction (DDPI) Kindly further note that I/We, am/are entitled to cancel/ revoke this authorisation at any time, after sending the revocation letter at the registered office address of Cochin Stock Brokers Limited . Such cancellation / revocation shall not be applicable to those obligations arising out of the trades carried out by me/us prior to such cancellation / revocation.

ACCOUNT TYPE	Client CODE	BROKER / DP
Trading account	Name ..... Client Code .....	Cochin Stock Brokers Ltd.
Demat Account	DP Client ID .....	DP ID .....

(X30)  (Full signature required)  
(Sole/First Holder Signature)

(X31)  (Full signature required)  
(Second Holder Signature)

(X32)  (Full signature required)  
(Third Holder Signature)