Client Registration Form

Form No



SUNSHINE STOCK BROKING PVT. LTD.

Member : National Stock Exchange of India Limited
Bombay Stock Exchange Limited
Sebi Reg. No. : INZ000281939

Depository Participant : CDSL DP ID : 12062800
DP ID 12062800 SEBI REG. NO. IN-DP-CDSL-446-2019

Corporate Office : *303, The Summit Business Bay, Near Swan City Club, W-Exp. Highway, Off Hanuman Road, Vile Parle (E), Mumbai - 400057*

Registered Office : *F-46-B, 3rd Floor, Ramesh Marg, C-Scheme, Jaipur - 302 001*
Ph.: (0141) 2223996, 4039610, E-mail : dp@ssbl.in I info@ssbl.in

Client Name : .....

Branch Code : .....

Client Code : .....

Client ID : 12062800.....

CENTRAL KYC REGISTRY I Instructions / Check list / Guidelines for filling Individual KYC Application Form

General Instructions :

1. Fields marked with '*' are mandatory fields.
2. Tick " wherever applicable.
3. Self-Certification of documents is mandatory.
4. Please fill the form in English and is BLOCK Letters.
5. Please fill all dates in DD-MM-YYYY format.
6. Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end,.
7. KYC number of applicant is mandatory for updation of KYC details.
8. For particular section update, please tick () in the box available before the section number and strike off the sections not required to be updated.
9. In case of 'Small Account type' only personal details at section numbert 1 and 2, photograph, signature and self-certification required.

A Clarification / Guidelines on filling "Personal Details section

1. **Name** : Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. Either **father's name or spouse's** name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

B Clarification / Guidelines or filling details if applicant residence for tax purposes in jurisdiction (s) ouside India

1. **Tax identification Number (TIN) :**TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high intergrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen / personal identification / services code / number, and resident registration number)

C Clarification / Guideliness on filling 'Proof of Identity [Pol]' Section

1. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. Mention identificatiopn / reference number it 'Z-Others (any document noptified by the central government)" is ticked.
3. In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undermnoted relevfant code may be mentioned in point 32 (s).

Document Code	Description
01	Identity card with applicant's photograph issued by Central / State Government Depatments, Stautory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of thhe person.

D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section

1. PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
2. State / U.T. Code and Pin/Post Code will not be mandatory for Overseas addresses.
3. In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phoone, piped gas water bill)
03	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment ordes (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address,.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

E Clarification / Guidelines on filling 'Proof of Address [PoA]' - Correspondence / Local Address details section

1. To be filled only in case the PoA is not the local address or address where the customner is currently residing. No separate PoA is required to the submitted.
2. In case of muttiple correspondence / local addresses, Please fill **'Annexure A1'**

F Clarification / Guidelines on filling 'Contact details' section

1. Please mention two - digit country code and 10 digit mobile nnumber (e.g. for Indian mobile number mention 91-999999999)
2. Do not add '0' in the beginning of Mobile number.

G Clarification / Guidelines oin filling 'Related Person details' section

1. Provide KYC number of related person if available.

H Clarification / Guidelines on filling 'Related Person details - Proof of Identity [Pol] of Related Person' section

1. Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

ACCOUNT OPENING KIT

ANNEXURE - 1

INDEX OF DOCUMENTS

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S. No.	Name of the Document	Bried Significance of the Document	Page No.
1.	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction / check list.	1-14
		B. Document captures the additional information about the consituent relevant to trading account and demate account & tariff sheet.	15-24
2.	Rights and Obligations	Document staing the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/Wireless technology based trading).	25-30
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	31-33
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	34-36
5.	Policies and Procedures	Document describing significant policies and procedure of the stock broker.	37-40
6.	FATCA & Cas Declaration	Document Relating to FATCA & CAS Declaration	41-42
7.	Annexure- A	Terms & Conditions-Cum-Registration / Modification Form for receiving SMS Alerts from CDSL	43-44

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

S.No.	Name of the Document	Brieff Significance of the Document	Page No.
1.	Running Account Authorisation	Request Letter signed and submitted by client.	45
2.	Authorisation for Electronic Contract Notes / Statements	Request Letter signed and submitted by client.	46
3.	Format of Sole Proprietor	To be provided by Sole Proprietor	47
4.	HUF Declaration	To be provided by HUF for the details of HUF	47
5.	Format of Declaration by Partnership Firm	To be provided on Letter Head of Firm	48
6.	Format of Board Resolution	To be provided on Letter Head of Company	49
7.	Authorization for Debiting the Trading Accounts		50
8.	Declaration for use of Email id and Mobile No.		51
9.	Acknowledgement Receipt		52

Name of stock broker/trading member/clearing member : SUNSHINE STOCK BROKING PVT. LTD.

SEBI Registration No.: ***INZ000281939***

Corporate Office address : *303, The Summit Business Bay, Near Swan City Club, W-Exp. Highway, Off Hanuman Road, Vile Parle (E), Mumbai - 400057*

Registered office address: *F-46-B, 3rd Floor, Ramesh Marg, C-Scheme, Jaipur - 302 001*
Ph.: (0141) 2223996, 4039610, E-mail : dp@ssbl.in

Phone No. : 022-26126850 / 51 **Fax :** 022-26126853 **I Email :** dp@ssbi.in **I Website :** www.ssbi.in

Compilance Officer Name, Phone No. & Email Id : Prashant Sawant, Tel No. 022-26126850/51, **Email :** prashant@sunshinestockbroking.com

CEO Name Phone No. & Email Id : Ashok Khandelwal, Tel No. 022-26126850/51, **Email :** *info@ssbl.in*

Email for Investors Grievance : ssbl@sunshinestockbroking.com

For any grievance/dispute please contact stock broker at the above address or email id or Phone no.
In case not satisfied with the response, please contact the concerned exchange (s) at ignse@nse.co.in and Phone no. 02226598192 (NSE) or at is@bseindia.com and phone no. 022-22728097 (BSE)

I/We wish to receive copies of KYC documents / Kit ☐ in Physical Form ☐ in Electronic Form

I/we acknowledge receipt of abbove mentioned documents duly signed / read / understood by me/us.

Client Signature

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

CKYC & KRA KYC Form

CVL

Application No. :

CERSAI

Please fill in ENGLISH and in BLOCK LETTERS

For office use only (To be filled by financial institution)

Application Type* ☐ New ☐ Update

KYC Number (Mandatory for KYC update request)

Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small ☐ OTP Based E-KYC

☐ 1. PERSONAL DETAILS (Please refer instruction A at the end)

PAN*

Please enclose a duly attested copy of your PAN Card

Aadhaar, if any:

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				

Date of Birth* D D – M M – Y Y Y Y

PHOTO

Please affix the recent passport size photograph and sign across it

Sign Across (2/29)

Signature / Thumb Impression

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

Citizenship* ☐ IN- Indian ☐ Others (ISO 3166 Country Code ☐☐)

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

Gross Annual Income (Range) ☐ Below Rs 1 LAC ☐ Rs 1-5 LAC ☐ Rs 5-10 LAC ☐ Rs 10-25 LAC ☐ Above Rs 25 LAC ☐

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

☐ UID (Aadhaar) ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others (Please see guideline 'D' overleaf

☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence* ☐☐

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth* ISO 3166 Country Code of Birth* ☐☐

☐ 3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ E- UID (Aadhaar) X X X X X X X X

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government) Identification Number

☐ S- Simplified Measures Account - Document Type code Identification Number

4. PROOF OF ADDRESS (PoA)*

☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar) ☐ Voter Identity Card ☐ NREGA Job Card ☐ Others (please specify) ☐ Simplified Measures Account - Document Type code

Address

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

State Country

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction E at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill '**Annexure A1**')

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

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

4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1*
Line 2
Line 3
City / Town / Village*
State*
Country
ZIP / Code*
ISO 3166 Country Code*

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

5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

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

6. DETAILS OF RELATED PERSON (please refer instruction G at the end)

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)

☐ A- Passport Number — Passport Expiry Date d d – m m – y y y y
☐ B- Voter ID Card
☐ C- PAN Card
☐ D- Driving Licence — Driving Licence Expiry Date d d – m m – y y y y
☐ E- UID (Aadhaar)
☐ F- NREGA Job Card
☐ Z- Others (any document notified by the central government) — Identification Number
☐ S- Simplified Measures Account - Document Type code — Identification Number

7. REMARKS (If any) OR ANY OTHER INFORMATIONS

8. 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 am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.
- I/We request you to reactivate my/our Trading account(UCC) ..... with Hem Finlease Pvt. Ltd.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.
- I hereby give my consent to update/modify the above KYC details in my Demat Account No. 1 2 0 1 7 7 0 & Trading Account No. _____ maintained with you.

[Signature / Thumb Impression]

Date : d d – m m – y y y y Place :

☞ (3/29)
Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

AMC/Intermediary name **OR** code **IPV Done** ☐ **on** d d / m m / y y y y

IPV/KYC VERIFICATION CARRIED OUT BY

Date D D – M M – Y Y Y Y
Emp. Name
Emp. Code
Emp. Designation
Emp. Branch

IPV Stamp

[Employee Signature]

☐ (Originals Verified) Self Certified Document copies received
☐ (Attested) True copies of documents received

Main Intermediary

INSTITUTION DETAILS

Name
Code

[Intermediary Stamp]

Know Your Client (KYC) Application Form (For Non-Individuals Only)

CVL

Application No. :

Please fill this form in ENGLISH and in Block Letters

A. Identity Details (please see guidelines overleaf)

1. **Name of Applicant** (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

2. **Date of Incorporation** d d / m m / y y y y **Place of Incorporation**

3. **Registration No. (e.g. CIN)** **Date of commencement of business** d d / m m / y y y y

4. **Status** Please tick (✓) ☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust / Charities / NGOs ☐ HUF ☐ FI ☐ FII
☐ FPI Category I ☐ FPI Category II ☐ FPI Category III ☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government Organisation
☐ Defence Establishment ☐ Body of Individuals ☐ Society ☐ LLP ☐ Others (Please specify)

5. **Permanent Account Number (PAN) (MANDATORY)** Please enclose a duly attested copy of your PAN Card

B. Address Details (please see guidelines overleaf)

1. **Address for Correspondence**

City / Town / Village Postal 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.**
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
☐ Any other proof of address document (as listed overleaf) (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. **Registered Address (If different from above)**

City / Town / Village Postal 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.**
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
☐ Any other proof of address document (as listed overleaf) (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. **Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors** (Please use the Annexure to fill in the details)

2. **Any other information:**

DECLARATION

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.

Place:

Date:

NAME & SIGNATURE(S) OF AUTHORISED PERSON(S)

FOR OFFICE USE ONLY

AMC/Intermediary name **OR** code

☐ (Originals Verified) Self Certified Document copies received

☐ (Attested) True copies of documents received

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 amin or, 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 apostiled 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.

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	• 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	• 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	• 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	• 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	• 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	• 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)	• Copy of SEBI registration certificate • Authorized signatories list with specimen signatures
Army/Government Bodies	• Self-certification on letterhead • Authorized signatories list with specimen signatures
Registered Society	• 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

Please Submit the KYC Documents on A4 Size Paper Only.

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*

Sr. No.	PAN	Name	DIN (For Directors) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph

Signature of Karta/Authorized Signatory *Date* d d / m m / y y y y

CVL

'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 City / Town / Village*
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 City / Town / Village*
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)

Signature of Karta/Authorized Signatory

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

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 (To be filled by financial institution) Application Type* ☐ New ☐ Update ☐ Delete
KYC Number (Mandatory for KYC update and delete request)

1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*) *If KYC number is available, only 'Related Person Type' & 'Name' is mandatory*

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor ☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director Identification Number) *(Mandatory if Related Person Type is Director)*

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				

Date of Birth* (D D – M M – Y Y Y Y)
Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender
Nationality* ☐ IN- Indian ☐ Others (ISO 3166 Country Code ☐☐)
PAN* ☐ Form 60 furnished

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E 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

☐ PHOTO*

Address

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

☐ 1.3. CURRENT ADDRESS DETAILS (Please refer instruction E and 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
II ☐ Offline verification of Aadhaar
IV ☐ Deemed PoA
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*

1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction **D** at the end)

Tel. (Off) Tel. (Res) Mobile

Email ID

2. 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/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : Place: **Signature /Thumb Impression of Applicant**

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification
☐ Digital KYC process ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

DEED OF DECLARATION OF HUF

I,_____residing at the address_____

_____do solemnly

affirm that I am the Karta of the Hindu Undivided and following members are included in the HUF.

Details of Coparceners / Family Members :

S.No.	Name of Coparceners / Family Members	Sex Code	Date of Birth	Relationship with Karta
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				
13.				
14.				
15.				

Specimen signature for and on behalf of Karta

Name :_____

_____

Signature of Karta

Along with the rubber stamp

ANNEXURE - 3

TRADING ACCOUNT RELATED DETAILS (For Individuals & Non-Individuals)

A. OTHER DETAILS

Gross Annual Income Details (please specify) : Income Range per annum : ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac ☐ Rs.10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ >1 Crore

OR

Net Worth (Net worth should not be older than 1 year) Amount Rs.....

as on (date) ☐☐ ☐☐ ☐☐☐☐ (Compulsory for Non-Individuals)

Occupation (please tick any one and give brief details) ☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others _____Please Specify

Please tick, if applicable ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

Any other information

B. BANK ACCOUNT (S) DETAILS

Bank Name	Branch Address	Bank Account Number	Account Type	MICR Number	IFSC Code
			☐ Saving ☐ Current ☐ Others- in case of NRI / NRE / NRO		

C. DEPOSITORY ACCOUNT (S) DETAILS

Depository Participant Name	Name of Depository	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	NSDL CDSL			
	NSDL CDSL			

D. TRADING PREFERENCES

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

Stock Exchange	Market Segment / s			
NSE	Cash		F&O	
	Currency Derivative			
BSE	Cash		F&O	

 # 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.

E PAST ACTIONS

Details of any action/proceedings intiated/pending/taken by SEBI/Stock exchange/any other authority against the applicant / consituent or its Partners/promoters / whole time directors / authorized persons in charge of dealing in securities during the last 3 years :

F. DEALINGS THROUGH SUB-BROKES AND OTHER STOCK BROKERS

If client is dealing through the sub-broker, provide the following details :

Sub-broker's Name					
SEBI Registration number					
Registration office address					
Ph.		Fax		Website	

Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of stock broker			
Name of Sub-Broker, if any			
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker/sub- broker			

G. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)	☐ Physical Contact Notes ☐ Electronic Contact Notes
Specify your Email id, if applicable	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)	
Number of years of Investment/Trading Experience	
In case of non-individuals, name designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:	
Any other information	

h. INTRODUCER DETAILS (optional)

Name of the introducer	
Status of the introducer	☐ Sub Broker ☐ Remisier ☐ Auth. Person ☐ Existing Client ☐ Others_____
Address and Phone No. of the Introducer	
Sign. of the Introducer	

DECLARATION

1. I/we hereby declare that the details furnished above are true an 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 unture 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 boundff 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	
Date	

Signature of Client / All Authorized Signatory (ies)

FOR OFFICE USE ONLY

UCC Code allotted to t he Client :_____

	Document verified with Originals	Client Interviewed By	In-Person Verification Done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

I/We undertake that we have made the client aware of 'Policy and Procedures,' tariff sheet and all the non-mandatory documents I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

For: **SUNSHINE STOCK BROKING PVT. LTD.**

Signature of the Authorised Signatory

Seal / Stamp of the Stock Broker

Date_____

ACCOUNT OPENING FORM INDIVIDUALS

SUNSHINE STOCK BROKING PVT. LTD.

SEBI REG. NO. IN-DP-CDSL-525-2009 • DP ID 12062800

Corporate Office address : *303, The Summit Business Bay, Near Swan City Club, W-Exp. Highway, Off Hanuman Road, Vile Parle (E), Mumbai - 400057*

Registered office address: *F-46-B, 3rd Floor, Ramesh Marg, C-Scheme, Jaipur - 302 001 Ph.: (0141) 2223996, 4039610*

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT FOR INDIVIDUALS

(To be filled by the Depository Participant)

Application No.		Date	
DP Internal Reference No.			
DP ID		Client ID	

(To be filled by the applicantin **BLOCK LETTERS** in English)
I/We request you to open a demat account in my/our name as per following details :

TYPE OF ACCOUNT (Please tick whichever is applicable)

☐ Individual	☐ Individual Resident	☐ Individual Director	☐ Individual Director's Relative
	☐ Individual HUF/AOP	☐ Individual Promoter	☐ Minor
	☐ Individual Margin Trading A/c (Name)		☐ Others (Specify)_____
☐ NRI	☐ NRI Repatriable	☐ NRI Non-Repatriable	☐ NRI Repatriable Promoter
	☐ NRI Non-Repatriable Promoter	☐ NRI - Depository Receipts	☐ Others (Specify)_____
☐ Foregin National	☐ Foregin National	☐ Foregin National-Depository Receipts	☐ Others (Specify)_____

HOLDERS DETAILS

Sole/First Holer's Name		PAN	
UID		Date of Birth	
Second Holer's Name		PAN	
UID		Date of Birth	
Third Holder's Name		PAN	
UID		Date of Birth	

Name*_____

In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partenerhip Firm, Unregistered Trust, etc., should be mentioned above.

OTHER DETAILS

Gross Annual Income Details	Income Range per annum : ■ Upto Rs. 1,00,000 ■ Rs. 1,00,000 to Rs.5,00,000 ■ Rs. 5,00,000 to Rs. 10,00,000 Rs. 10,00,000 to Rs. 25,00,000 ■ More than Rs. 25,00,000
	Net Worth as on (date)
	(Net Worth should not be older than 1 year)
Occupation	☐ Private / Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriclture ☐ Retired ☐ Housewife ☐ Student ☐ Others (specify)_____
Please tick, if applicable	Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPER)
Any other information	

BANK DETAILS (Dividend Bank Details)

Bank Code (9 digit MICR Code)	
IFS Code (11 Character)	
Account Number	
Account Type	☐ Saving ☐ Current ☐ Others (specify)_____
Bank Name	
Branch Name	
Bank Branch Address	
City / State / Country / PIN	

(I) Photocopy of the cancelled cheque having the name off the account holder where the cheque books is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO.
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.

In case of option (ii), (iii) and (iv) above, MICR Code of the branch should be present/mentioned of the document.

DETAILS OF GUARDIAN (in case the account holderr is minor)

Guardian's Name	PAN
Relationship with the applicant	

I/We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be 'Yes')	[Automatic Credit] Yes ☐ No ☐
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end. (If not marked, the default option would be 'No')	Yes ☐ No ☐
Accoount Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
I/We request you to send Electronic Transaction-cum-Holding Statement at the email Id_____	Yes ☐ No ☐
I/We would like to share the email ID with the RTA	Yes ☐ No ☐
I/We would like to receive the Annual Report (Tick the applicable box. If not market the default option would be in Physical)	☐ Physical ☐ Electronic ☐ Both Physical & Electronic
I/We wish to receive dividend / interest directly in to my bank account as given below through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	Yes ☐ No ☐

SMS Alert Facility Refer to Terms & Conditions given as **Annexure 2.4**	MOBILE No.: +91-..... [Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option) ☐ Yes ☐ No
Transactions Using Secured Texting Facility (TRUST) Refer to Terms and Conditions **Annexure 2.6**	I/We wish to avail the TRUST facility using the Mobile Number registered for SMS Alert Facility, I/We have read and understood the Terms and Conditions prescribed by CDSL for the same. ☐ Yes ☐ No I/We wish to register the following cleaning member Ids under my/our below mentioned BO ID registered for TRUST.

Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

Easi	To register for **easi,** please visit our website www.cdslindia.com ***Easi*** allows a BO to view his ISIN balances, transactions and value of the portolio online.

	First / Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature			

ACCOUNT OPENING FORM NON- INDIVIDUALS

SUNSHINE STOCK BROKING PVT. LTD.

SEBI REG. NO. IN-DP-CDSL-525-2009 • DP ID 12062800

Corporate Office address : *303, The Summit Business Bay, Near Swan City Club, W-Exp. Highway, Off Hanuman Road, Vile Parle (E), Mumbai - 400057*

Registered office address: *F-46-B, 3rd Floor, Ramesh Marg, C-Scheme, Jaipur - 302 001 I Ph.: (0141) 2223996, 4039610*

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT FOR NON-INDIVIDUALS

(To be filled by the Depository Participant)

Application No.								Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																
DP ID	1	2	0	6	2	8	0	0	Client ID								

(To be filled by the applicantin **BLOCK LETTERS** in English)
I/We request you to open a demat account in my/our name as per following details :

HOLDERS DETAILS

Sole/Frist Holder's Name		PAN												
		UID												
Second Holder's Name		PAN												
		UID												
Third Holder's Name		PAN												
		UID												
Search Name														

Name*_____

* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

TYPE OF ACCOUNT (Please tick whichever is applicable)

Status	Sub-Status (To be filled by the DP)
☐ Body Corporate ☐ Banks ☐ Trust ☐ Mutual Fund ☐ OCB ☐ FII ☐ CM ☐ FI ☐ Clearing House ☐ Other (Specify)_____	

SEBI Registration No. (if applicable)		SEBI Registration Date	D	D	M	M	Y	Y	Y	Y
RBI Registration No. (if applicable)		RBI Approval Date	D	D	M	M	Y	Y	Y	Y
ROC Registration No. (if applicable)		ROC Registration Date	D	D	M	M	Y	Y	Y	Y
Nationality	Indian	Others (specify)_____								

I/We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be 'Yes')	[Automatic Credit] Yes ☐ No ☐
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end. (If not marked, the default option would be 'No')	Yes ☐ No ☐
Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly

I/We request you to send Electronic Transaction-cum-Holding Statement at the email Id_____	Yes ☐ No ☐
I/We would like to sharre the email ID with the RTA	Yes ☐ No ☐
I/We would like to receive the Annual Report (Tick the applicable box. If not market the default option would be in Physical)	☐ Physical ☐ Electronic ☐ Both Physical & Electronic

OTHER DETAILS

Gross Annual Income Details	Income Range per annum : ☐ Upto Rs. 1,00,000 ☐ Rs. 1,00,000 to Rs. 5,00,000 ☐ Rs. 5,00,000 to Rs. 10,00,000 ☐ Rs. 10,00,000 to Rs. 25,00,000 ☐ Rs. 25,00,000 to Rs. 1,00,00, 000 ☐ Mor than Rs. 1,00,00,000
	Net Worth as on (date) D D M M Y Y Y Y Rs.
	(Net Worth should not be older than 1 year)
Please tick if any of the authorized signatories / Promoters / Partners/ Karta / Trutees / Whole Time Directors is either ☐ Politically Exposed Person (PEP) ☐ Realted to Politically Exposed Person (RPEP) Please provide details as per Annexure 2.2.A.	
Any otther information	

CLEARING MEMBER DETAILS (To be filled by CMs only)

Name of Stock Exchange			
Name of CC / CH			
Clearing Member ID		Trading Member ID	
I/We wish to receive dividend/interest directly in to my bank account given below through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	Yes ☐ No ☐		

BANK DETAILS (Dividend Bank Details)

Bank Code (9 digit MICR Code)											
IFS Code (11 Character)											
Account Number											
Account Type	☐ Saving ☐ Current ☐ Others (specify)_____										
Bank Name											
Branch Name											
Bank Branch Address											
City		State		Country		PIN					

(I) Photocopy of the cancelled cheque having the name off the account holder where the cheque books is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO.
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.

In case of option (ii), (iii) and (iv) above, MICR Code of the branch should be present/mentioned of the document.

SMS Alert Facility Refer to Terms & Conditions given as **Annexure 2.4**	MOBILE No.: +91-..... [Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option)	☐ Yes ☐ No

Transactions Using Secured Texting Facility (TRUST) Refer to Terms and Conditions **Annexure 2.6**	I/We wish to avail the TRUST facility using the Mobile Number registered for SMS Alert Facility. I/We have read and understood the Terms and Conditions prescribed by CDSL for the same. ☐ Yes ☐ No I/We wish to register the following clearing member Ids under my/our below mentioned BO ID registered for TRUST		
	Stock Exchange Name/ID	**Clearing Member Name**	**Clearing Member ID (Optional)**

Easi	To register for **easi,** please visit our website www.cdsindia.com. ***Easi*** *allows a BO to view his ISIN balances, transactions and value of the portfolio online.*

I/We have received and read the document of 'Rights and Obligattion of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules there to and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change (s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material informattion will render my account liable for termination and suitable action.

	First / Sole Authorised Signatory	**Second Authorised Signatory**	**Third Authorised Signatory**
Name			
Designation			
Signature			

(Signatures should be preferably in black ink) ***(In case of more authorised signatories, please add annexure)***

भारतीय प्रतिभूति और विनिमय बोर्ड
Securities and Exchange Board of India

Nomination Form

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

TM / DP **Name and Address**	**FORM FOR NOMINATION** *(To be filled in by individual applying singly or jointly)*

Date	D	D	M	M	Y	Y	Y	Y	**UCC/ DP ID**	I	N							**Client ID**								

I/We wish to make a nomination. [*As per details given below*]

Nomination Details

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

Nomination can be made upto three nominees in the account.			**Details of 1st Nominee**	**Details of 2nd Nominee**	**Details of 3rd Nominee**
1	**Name of the nominee(s) (Mr./Ms.)**				
2	**Share of each Nominee**	Equally [If not equally, please specify percentage]	%	%	%
			Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
3	**Relationship With the Applicant (If Any)**				
4	**Address of Nominee(s)** City / Place: State & Country:				
		PIN Code			
5	**Mobile / Telephone No. of nominee(s)**				
6	**Email ID of nominee(s)**				
7	**Nominee Identification details–** [Please tick any one of following and provide details of same] Photograph & Signature PAN Aadhaar Saving Bank account no. Proof of Identity Demat Account ID				
Sr. Nos. 8 14 should be filled only if nominee(s) is a minor:					
8	**Date of Birth {in case of minor nominee(s)}**				
9	**Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }**				
10	**Address of Guardian(s)**				

	City / Place: State & Country:							
		PIN Code						
11	**Mobile /Telephone no. of Guardian**							
12	**Email ID of Guardian**							
13	**Relationship of Guardian with nominee**							
14	**Guardian Identification details–** [Please tick any one of following and provide details of same] Photograph & Signature PAN Aadhaar Saving Bank account no. Proof of Identit Demat Account ID							

Name(s) of holder(s)	**Signature(s) of holder***
Sole / First Holder (Mr./Ms.)	
Second Holder (Mr./Ms.)	
Third Holder (Mr./Ms.)	

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

भारतीय प्रतिभूति और विनिमय बोर्ड
Securities and Exchange Board of India

Declaration Form for opting out of nomination

[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

To	Date	D	D	M	M	Y	Y	Y	Y
Trading Member/Participant's Name Trading Member/Participant's Address									

UCC/DP ID	I	N						
Client ID (only for Demat account)								
Sole/First Holder Name								
Second Holder Name								
Third Holder Name								

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

Name and Signature of Holder(s)*

1. _____ 2. _____ 3. _____

* Signature of witness, along with name and address required, if the account holder affixes thumb impression, instead of signature

TARIFF SHEET

(BROKERAGE & STATUTORY CHHARGES)

S. No.	Detail of Charges		Tariff of Charges
1.	Brokerage	(a) CM Segment	Jobbing@_____% Delivery@_____%
		(b) F&O Segment	Futures@_____% Options@_____% of premium value or Rs._____per lot whichever is higher
2.	Service Tax / GST		As per Government of India Rules
3.	Security Transaction Tax		As per Government of India Rules
4.	Stamp Duty		As per Government of India Rules
5.	Transaction Charges (CM and F&O Segment)		As per Government of India Rules
6.	SEBI Turnover Fee		As per Government of India Rules
7.	F&O Clearing Member Charges (for E&O segment only)		Futures @ Rs. 55/- per crore Options @ Rs. 1500/- per crore on Premium Value these are prevailing charges subject to change.
8.	KRA Free		As' levied by KRA
9.	Other Charges		Any other changes levied by Stock Exchange(s), SEBI or any statutory authority (in addition to the tariff mentioned at serial no. from 1 to 8 mentioned herein above)

For : SUNSHINE STOCK BROKING PVT. LTD.

(Authorised Signatory)

Client Signature

DP Tariff Detail

DP ID	62800			
About Us				
Services				
Type of account		Normal	BSDA holding up to 50000	BSDA holding 50001 200000
Tariffs	Statutory Charges at the time of Account Opening			
	Advance / Deposit			
	Account Maintenance (Annual)	-Rs 299 (plus CDSL charges for corporate account only)	Nil	Nil
	Demat	RS.20/- PER REQUEST plus Rs. 3/- PER CERTIFICATE	RS.40/- PER REQUEST plus Rs.5/- PER CERTIFICATE	RS.40/- PER REQUEST plus Rs. 5/- PER CERTIFICATE
	Remat	0.05% OF VALUE PLUS RS. 20/- POSTAGE	RS.40/- PER REQUEST plus Rs.200/- PER CERTIFICATE	RS.40/- PER REQUEST plus Rs.200/- PER CERTIFICATE
	Transaction (Debit)	MIN. RS.20/- AND MAX. 50/- OR 0.05% OF THE MARKET VALUE WHICHEVER IS LOWER.	Rs. 50/-	Rs. 50/-
	Pledge Creation	RS.25/-PER TRANS.	RS.50/-PER TRANSaction	RS.50/-PER TRANSaction
	Pledge Closure or Invocation	RS.25/-PER TRANS.	RS.50/-PER TRANSaction	RS.50/-PER TRANSaction
	Failed Instruction Charges			
	Other Charges Client Modification Charges	Nil	25 per Instruction	25 per Instruction
	Designated Director Under PMLA	GOVIND KHANDELWAL		
	Email id of Designated Director	govind@sunshinestockbroking.com		
Remarks				

First / Sole Authorised Signatory

ANNEXURE - 4

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS

as prescribed by SEBI and Stock Exchanges

1. The client shall invest/trade in those securities/ contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaw and Regulations of Exchanges/Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client should be bound by all the rules, Byelaws and Regulations of the Exchange and circular/ notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deals in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take step to make the client aware of the precise nature of the stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and cooperate with the stock broker in all its dealings with the client(s).

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Accounts Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Accounts Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the clients.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provided/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the clients as mentioned in the account opening from or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority excepts a required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins a are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segments(s) in which the clients trades. The stock broker as permitted in its soul and absolute discretion to collect additional margins (even though not required by the exchange, Clearing Houses/Clearing Corporation or SEBI) and the shall be obliged to pay such margins within the stipulated time.
12. The clients understands that payment or the margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive)such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the clients and the stock broker. The stock broker shall ensure to place orders and execute the trades of the clients, only in the unique clients Code assigned to that clients.
14. The stock broker shall inform the clients and keep him apprised about trading/settlement cycles, delivery / payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchanges where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the clients shall be kept in a separate accounts, distinct from his/its own accounts of any other client and shall not be used by the stock broker for himself/itself or for any other clients and for any purpose mentioned in Rules, Regulation, Bye-laws, Circular and notice of exchange.
16. Where the Exchage(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stands cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the exchange are subject to Rules, Byelaws and Regulations and circulars/notice issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circular/notice issued there under.

BROKERAGE

18. The client shall pay to the stoke broker brokerage and statutory levies as per prevailing from time to time and as they apply to the client's accounts, transactions and to the services that stock broker renders to the client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on accounts of such liquidation/closing-out shall be charged to and borne by the client.
20. In the events of death or insolvency of the clients or his/its otherwise becoming incapable of receiving and playing for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transactions of the client and claim losses, if any, against the estate of the client. The clients or his nominee, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/ Promoter(s)/ Partner(s)/ proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the clients with relevant conducted details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The clients and stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-a-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reasons ceases to be a members of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligation of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the clients shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the "Rights and obligation' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, right or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and clients shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange for time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, detail of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant ?Exchange where the trade is executed unless otherwise specifried by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the tade is executed.
34. The stock broker shall send a complete Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the3 relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the rlelevant Exchange from time to time where the trade was executed, from the receipt thereof to the stock broker.
35. The stock broker shall send daily margin statements too the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to,and and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter.If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case. ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/ regulations /circulars/guideliness issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back.

    The stock broker shall take all possible steps to ensure receipt of notification of boucned mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.
41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contracty notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and / or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker ot the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notces issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subjet to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any awqard passed by the Arbitrator (s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges / SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges /SEBI. Any changes in such voluntary clauses/docuyyment (s) need to be preceded by a notice of 15 days. any changes in the rights and obligations which are specified by Exchanges / SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virute of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.



Client Signature

RIGHTS AND OBLIGATIONS OF BENEFICAL OWNER AND DEPOSITORY PARTICIPANT AS PRESRIBED BY SEBI & DEPOSITORIES

General Clause

1. The Beneficial Owner and the Depository Participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars / Notifications / Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notificationsd of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP Shall maintain all the details off the beneficial owner (s) as mentioned in the account opening form, supporting documents submitted by them and / or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in wiriting, if there is any change in details provided in the account opening form as submitted to the DP at the opening the demat account or furnished to the DP from time to time.

Fees / Charges / Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts."
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and / or Depository circulars / directions / notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owenr shall be segregated and shall not be mixed up with the securities of other beneficial owners and / or Dp's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial owner tro create oir permit any pldege and / or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and / or in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions / Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year. the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statment of demat accounts under its digital signature, as governed under the information Technology Act, 2000. However if the DP does not have the faility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat account in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and / or Depository from time to time.

Signature of Sole/First Holder | **Signature of Second Holder** | **Signature of Third Holder**

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository, Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall contiune to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5 & 6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,
    1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
    2. Where the loss due to the negligence of the participant under clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing / Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze / defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules / Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by ait, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forth with communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars / notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars / notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his / her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between he DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context other wise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars / notices issued there under by the depository and / or SEBI
30. Any changes in the rights and obligations which are specified by SEBI/ Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT

(All the clauses mentioned in the 'Rights and Obligations' document (s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facitlity for securityies trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT service, on and subject to sebi/exchanges provisions and the terms and conditions specified on the Stock brokert's IBT Web Siter provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet / smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges / SEBI.
5. The client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any peson whosoever through the stock broker's IBT System using the client 's Username and / or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and / or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker;s IBT System, discovers/suspects discrepancies/unauthorized access through his username / password/ account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and client shall be fully liable and responsible for any and all acts done in the Client's username / passoword in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order / trade confirmation on the device of the client .
9. The client is aware that trading over the internet involves many uncetain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exhange do not make any representation or warranty that the Stock broker's IBT Service will be available to the client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker an account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the client /Stock brokers / Exchange end for any reason beyond the control of the stock broker/Exchanges.

Client Signature

ANNEXURE - 5

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in in considering whether to trade or authorize someone to trade for Equities/Derivatives Segments of the stock exchanges. All you, you should be aware of or must get acquainted with the prospective constituents should read this document before trading in following:-

Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges / SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts of other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and / or trading experience and low risk tolerance. You should therefor carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks invoved was made or that you were not explained the rull risk invoved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no conract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing ordres for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly undestood by you that your dealings on Stock exchanges through a stock broker shall be subject to you fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your cilent form, reading the rights and obligations, do's and don'ts, etc. and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and circulars as may be issued by stock exchanges or its clearing corporation and in force from time to time.

Stock exchanges does not provide or purport provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and / or any third party based on any information contained in this document. Any information contained in this document must not be constured as business advice. No consideration to trade should ber made without thoroughly understanding and reviewing the risks invoved in such trading. If you are unsure, you must seek professional advice on the same.

1. BASIC RISKS :

1.1 Risk of Higher Volatility :

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities / derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which you order got executed may be substantially different from the last traed price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity :

Liquidity refers to the ability of market participants to buy and / or sell securities / derivatives contracts expeditiously at competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and / or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, you order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities, / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

1.3 Risk of Wider Spreads :

Spread refers to the difference in best buy price and best sell price. It respects the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

1.3 Risk of Wider Spreads :

Spread refers to the difference in best buy price and best sell price. It repsents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.,

1.4 Risk-reducing orders :

The placing of orders (e.g., "stop loss") orders, or "limit" orders) which are intended to limit losses to certain amount may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

1.4.1 A "market " order will be executed promptly subject to availability of orders on opposite side, without regar4d to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority, It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contracty reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/ limit order and is executed at the limit or better. There is no assurance thefore that ther limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements :

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6 Risk of Rumors :

Rumors about companies / currencies at time float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.7 System Risk :

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

1.7.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System / Network Congestion :

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination ot technologies and computer systems to place and route orders. Thus, there exists a possibility fo communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexpected orders, these represent a risk because of your obligations to settle all executed transactions.

2 As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing" :

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk,.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted : changes in the margin rate, increases in the cash margin rate or others These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks :

1. The profit or loss in transactions in foreign curency-denominated contracts, whether they are traded in you own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, amount other things: changing supply-demand relationships ; trade, fiscal, monetary, exchange control programs and policies of governments ; foreign political and economic events and policies; changes in national and international interest rates and inflation' currency devaluation' and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders :

1. An option holder runs the risk of losing the entire amount paid for the option in are relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Wirters :

1. If The Price Movement Of The Underlying Is Not In The Anticipated Direction, The Option Writer Runs The Risks Of Losing Bustantial Amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquirint other types of hedging positions ian the options markets or other market.s However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying and writing options in combination with buying or selling short the underlyibng interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or wiritng a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, In itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. TRADING THROUGH WIRELESS TECHNOLOGY / SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY :

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology / smart orcder routing or any other technology should brought to the notice of the client by the stock broker.

4. GENERAL

4.1 The terms 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquring and / or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

Client Signature

ANNEXURE - 6

GUIDANCE NOTE - DO'S AND DON'Ts FOR TRADING ON THE EXCHANGE (S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges websites (www.nseindia.com) and SEBI website www.sebi.gov.in
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz,. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clasuses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions / guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guideliness issued by SEBI/ Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment / deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank / demat account such money or securities deposited and from which bank / demat account.
12. Note that facility of Trade Verification is available on stock exchange's webistes, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:

a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.

b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of duns and securities and the details of the pledged shares, if any.

c) On the date of settlement, the stock broker may retain the requisite securities / funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds / securities / margin to the extent of value of transactions executed on the day of such settlement in the cash market.

d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts / details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is explelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relatint to only the 'transactions executed on the trading system' of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and / or securities you may deposit with your stock brokerr, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and / or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors 'Protection Fund in force time to time.'

DISPUTES / COMPLAINTS

18. Please not that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the3 stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalte the matter to SEBI.
20. Not that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division / compliance officer exclusively for the purpose of registering complaints.

Client Signature

CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED

MANAGING YOUR DEMAT ACCOUNT WITH CDSL

SIMPLE DOs and DON'Ts

1. Verify your transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform your DP or CDSL.
2. Intimate any change of address or change in bank account details to your DP immediately.
3. While accepting the Delivery Instruction Slip (DIS) book from your DP, ensure that your BO ID is pre-stamped on all the pages along with the serial numbers.
4. Keep your DIS book safely and do not sign or issue blank or incomplete DIS slips.
5. Strike out the empty space, if any, in the DIS, before submitting to DP.
6. For market transactions, submit the DIS ahead of the deadline time. DIS can be issued with a future execution date.
7. The demat account has a nomination facility and it is advisable to appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
8. To open and operate your demat account, copy of PAN card of all account holders is to be submitted to the DP along with original PAN card, for verification.
9. Register for CDSL's SMART (**SM**S **A**lerts **R**elated to **T**ransactions) facility. If any unauthorized debit is noticed, the BO should immediately inform CDSL and the Main DP, in writing. An email may be sent to CDSL at complaints@cdslindia.com.
10. Register for CDSL's Internet based facility "*easi*" to monitor your demat account yourself. Contact your DP or visit CDSL's website: www.cdslindia.com for details.
11. In order to receive all the credits coming to your demat account automatically, you can give a one-time, standing instruction to your DP.
12. Before granting Power of Attorney to anyone, to operate your demat account, carefully examine the scope and implications of powers being granted.

1. **Refusal or orders for penny / illiquid stock**

To define penny stocks the stock broker may add and include number of other securities besides list of illiquid securities released by the Exchanges every month.

The stock broker may from time to time limit (quantity / value) / refuse orders in one or more securities due to various reasons including market liquidity, value of security (ies), the order being for securities which are not in the permitted list of the stock broker / exchanges (s) / SEBI. Provided further that stock broker may require compulsory settlement / advance payment of expected settlement value / delivery of securities for settlement prior to acceptance / placement of order (s) as well. The client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client alone.

The stock broker may require reconfirmation of orders, which are larger than that specified by the stock broker's risk management, and is also aware that the stock broker has the discretion to reject the execution of such orders based on its risk perception.

2. **Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client**

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and / or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions/ limits (such as broker level/market level limits in security specific / volume specific exposures etc.), and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client 's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution of order due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker / exchange / SEBI appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

The stock broker is required only to communicate / advise the parameteres for the calculation of the margin / security requirements as rate (s) / percentage (s) of the dealings, through anyone or more means or methods such as post / speed post / courier / registered post / registered AD / facsimile / telegram / cable / e-mail / voice mails / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the stock broker; by publishing / displaying it on the website of the stock broker / making it available as a download from the webiste of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisments etc; or any other suitable or applicable mode or manner. The client agrees that the postal department / the courier company / newspaper company and the e-mail / voice mail service provider and such other service providers shall be the agent of the client and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail / voice mail service provider, etc. by the stock broker and the client agrees never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever and once parameters for margin / security requirements are so communicated, the client shall monitor his / her / its position (dealings / trades and valuation of security) on his / her / its own provide the required / deficit margin / security forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the stock broker to the client and / or whether or not such communication is received by the client.

The client is not entitled to trade without adequate margin / security and that it shall be his / her / its responsibility to ascertain beforehand the margin / security requirements for his / her / its orders / trades / deals and to ensure that the required margin / security is made available to the stock broker in such form and manner as may be required by the stock broker. If the client's order is executed despite a shortffall in the available margin, the client, shall whether or not the stock broker intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The client futher agrees that he/she lit shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) & / or any claim / loss / damage arising out of the non availability / shortage of margin / security required by the stock broker & / or exchange & / or SEBI.

The stock broker is entitled to vary the form (i.e., the replacement of the margin / security in one form with the margin / security in any other form, say, in the form of money instead of shares) & / or quantum & / or percentage of the margin & / or security required to be deposited / made available, from time to time.

The margin / security deposited by the client with the stock broker are not eligible for any interest.

The stock broker is entitled to include / apporopriate any / all payout of funds & / or securities towards margin / security without requiring specific authorizations for each payout.

The stock broker is entitled to transfer funds & / or securities from his account for one exchange & / or one segment of the exchange to his / her / its account for another exchange & / or another segment of the same exchange whenever applicable and found necessary by the stock broker. The client also agrees and auhtosises the stock broker to treat / adjust his / her / its margin / security lying in one exchange & / or one segment of the exchange / towards the margin / security / pay in requirements of another exchange & / or another segment of the exchange.

The stock broker is entitled to disable / freeze the account & / or trading facility / any other service facility, if, in the opinion of the stock broker, the client has committed a crime/ fraud or has acted in contradiction of this agreement or / is likely to evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

3. **Applicable brokerage rate**

The stock broker is entitled to charge brokerage within the limits imposed by exchange / Sebi.

4. **Imposition of penalty / delayed payment charges**

The clients will be liable to pay late pay in/delayed payment charges for non making payment of their payin/margin obligation on time as per the exchange requirement / schedule at the rate upto 2% per month.

The client agrees that the stock broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this agreement / fules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

The client agrees to pay to the stock broker brokerage, commission, fees, all taxes, duties, levies imposed by any authority including but not limited to the stock exchanges (including any amount due on account of reassessment / backlogs etc.), transaction expenses, incidental expenses such as postage, courier etc. as they apply from time to time to the client's account / transactions / services that the client avails from the stock broker.

5. **The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues**

Without prejudice to the stock brokers others right (Including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the clients position without giving notice to the client for non payment of margins or other amounts includintg the pay in obligation, outstanding debts etc. and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities / obligations.

The stock broker maintains centralized banking and securities handling processes and related banking and derpository accounts at designated place. The client shall ensure timelyh availability of funds/securities in designated form and manner at designated time and in designated bank and depository account (s) at designated place, for meeting his/her/itts pay in obligation of funds and securities. The stock broker shall not be responsible for any claim/loss/damage arising out of non availability / short availability of funds / sercurities by the client in the designated account (s) of the stock broker for meeting the pay in obligation of either funds or securities. If the client gives orders / trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery (s) or market delivery (s) and if such anticipated availability does not materialize in actual availability of securities / funds for pay in for any reason whatsoever including but not limited to any delays / shortages at. the exchange or stock broker level/non release of margin by the stock broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions / square off / closing outs etc., shall be solely to the account of the client and the client agrees not to hold the stock broker responsible for the same in any form or manner whatsoever. In cases of securities lying in margin account/client beneficiary account and having corporate actions like Bonus, Stock split, Right issue etc, for margin or other purpose the benefit of shares due to received under Bonus, Stock split, Right issue etc will be given when the shares is actually received in the stock broker designated demat account.

In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit / credit for the same only on the realization of the funds from the said bank instrument etc. at the absolute discretion of the stock broker.

Where the margin / security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin/security & / or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/closelliquidate all open positions/securities/shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage mentioned on the website, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition,. In the event of such square off, the. client agrees to bear all the losses based on actual executed prices. In case open position (i.e. Short / long) gets converted into delivery due to non square off because of

any reason whatsoever, the client agrees to provide securities/funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charges levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the client shall also be solely liable for all and any penalties and charges. levied by the exchange (s).

The stock broker is entitled to prescribe the date and time by which the margin / security is to be made available and the stock broker may refuse to accept any payments in any form after such deadline for margin / security expires.

Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund/security or to meet the funds/msargins/securities pay in obligations for the orders/ trades / deals of the client within the prescribed time and form, the stock broker shall have the right without any further notice or communication to the client to take any one or more of the following steps :

(i)To withhold any payout of funds / securities.

(ii) To withhold I disable the trading / dealing facility to the client.

(iii) To liquidate one or more security (s) of the client by selling the same in such manner and at such rate which the stock broker may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities which are pending delivery / receipt.

(iv) To liquidate / square off partially or fully the position of sale & / purchase in anyone or more securities / contracts in such manner and at such rate which the stock broker may decide in its absolute discretion.

(v) To take any other steps which in the given circumstances, the stock broker may deem fit.

The client agrees that the loss (s) if any, on account of anyone or more steps as enumerated herein above being taken by the stock broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the stock broker.

6. Shortages in obligations arising out of internal netting of trades

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation / clearing house or other company or entity liable to make the payment and the client has fulfilled his / her / its obligations first.

The policy and procedure for settlement of shortages. in obligations arising out of internal netting of trades is as under :

a) The short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Pay-in/Payout Day. The securities delivered short are purchased from market on T + 3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.

b) If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T + 3 day or Auction day on Exchange + 10% Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits / credits shall be as per Exchange Dbits and Credits.

c) In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

7. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client

The stock broker has margin based RMS system. Client may take exposure upto the amount of margin available with broker.

Client may not be allowed to take position in case of non - availability/shortage of margin as per RMS policy of the broker.

The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/non making of payment for their payin obligation / outstanding debts.

8. Temporarily suspending or closing a client's account at the client's request

(i) The client may request the stock to temporarily suspend his account, stock broker may do so subject to client accepting / adhering to conditions imposed by stock broker including but not limited to settlement of account and / or other obligation. Same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place.

(ii) The stock broker can with hold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order / action requiring client suspension.

9. De-registering a client

Nothwithstanding anything to the contrary stated in the agreement, thje stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances :

(I) If the action of the Client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal / proper functioning of the market, either alone or in conjunction with others.

(ii) If there is any commencement of a legal process against the Client under any law in force

(iii) On the deathb/lunacy or other disability of the Client;

(iv) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;

(v) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;

(vi) If the Client being a partnership firm, has any steps taken by the Client and / or its partners for dissolution of the partnership;

(vii) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;

(viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security:

(ix) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;

(x) If the Client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the Stock broker;

(xi) If the Client is in breach of any terms, condition or covenant of this Agreement;

(xii) If any covenant of warranty of the Client is incorrect or untrue in any material respect;

However notwithstanding any termination of the agreement, all transactions made under / pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place off execution of this agreement by Stock Broker. Trading in Exchange is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. The client understands that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any break down in the broker's back office / front end system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond the broker's control and may result in delay in processing or not processing buy or sell Orders either in part or in full. The client shall be fully liable and responsible for any such problem/ fault.

Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforce ability and applicability off any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through anyone or more means or methods such as post / speed post / courier / registered post / registered A.D / facimile / telegram / cable / e-mail / voice mails / telephone (telephone includes such devices as mobile phones etc.) including. SMS on the mobile phone or any other similar device; by informing the client through employees / agents of the stock broker; by publishing / displaying it on the website of the stock broker / marking it avilable as a download from the website of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisments etc; or any other suitable or applicable mode or manner. I/we agree that the postal department / the courier company / newspaper company and the e-mail / voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail / voicemail service provider, etc. by the stock broker and i/we agree never to challenge the same on any grounds including delayed receipt/non receipt or any other reasons whatsoever. These Policies and shall be compulsorily referred to while deciding any dispute/difference or claim between me / us and stock broker before any court of law / judicial / adjudicating authority including arbitrator / mediator etc.

For and On Behalf of Constituent

Client Signature

Name :_____

SUNSHINE STOCK BROKING PRIVATE LIMITED

Corporate Office: 303, The chambers, Near Swan City Club, W E Highway,
Off Hanuman Road, Vile Parle (E), Mumbai – 400057
Tel.: 022-26126850/51 Fax: 022-26126853
Registered Office : F-46B, 3rd Floor, Ramesh Marg, C-Scheme, Jaipur – 302001
Ph. : 0141-4039610,E-mail : dp@ssbl.in. Web site: www.ssbl.in
SEBI REG. NO. : IN-DP-CDSL-525-2009

FATCA / CRS Declaration

Please seek appropriate advice from your tax professional on your tax residency and related FATCA & CRS guidance

Client Code /Client ID	
Name :	
Address :	
Email :	
Phone :	
PAN :	
DP ID :	
Date of Birth	
Place of Birth : (*)	
US citizenship : (*)	**NO Yes (Arrange to provide the proof of the US citizenship)**

(*) Mandatory

Whether you /your entity, is a Country of Tax Residency other than India – YES NO

If "Yes", please specify the details of all countries where you (Entity) hold tax residency and its Tax identification Number & type.

S No.	Country of Tax Residency	Tax Payer Identification Number/ Functional Equivalent/ Company Identification Number or Global Entity Identification Number	Identification Type (TIN or other, please specify)
1.			
2.			
3.			

In case you/your entity, is a specified US person, mention exemption code here_____

DECLARATION

I / We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware tha t I/We may liable for it. I/We hereby authorize you to disclose, share, rely, remit in any form, mode or manner, al l / any of the information provided by me/us, including all charges, updates to such information as and when provided by me / us to / any Indian or foreign governmental or statutory or judicial authorities /agencies including but not limited to the Financial Intelligence Unit – India(FIU-IND), the tax revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me /us of t he same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries / or any regulated intermediaries registered with SEBI / RBI / to facilitate single submission / update & for other relevant purposes. I / We also undertake to keep you informed in w riting about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required by domestic or overseas regulators / tax authorities.

SIGN:

DATE:

PLACE:

SUNSHINE STOCK BROKING PRIVATE LIMITED

Corporate Office: 303, The chambers, Near Swan City Club, W E Highway,
Off Hanuman Road, Vile Parle (E), Mumbai – 400057
Tel.: 022-26126850/51 Fax: 022-26126853
Registered Office : F-46B, 3rd Floor, Ramesh Marg, C-Scheme, Jaipur – 302001
Ph. : 0141-4039610,E-mail : dp@ssbl.in. Web site: www.ssbl.in
SEBI REG. NO. : IN-DP-CDSL-525-2009

CAS (CONSOLIDATE ACCOUNT STATEMENT) MODE:

CAS NOT REQUIRED:

PHYSICAL CAS REQUIRED:

CLIENT SIGN

SUNSHINE STOCK BROKING PVT. LTD.

Corporate Office address : *303, The Summit Business Bay, Near Swan City Club, W-Exp. Highway, Off Hanuman Road, Vile Parle (E), Mumbai - 400057*

Registered office address: *F-46-B, 3rd Floor, Ramesh Marg, C-Scheme, Jaipur - 302 001 I Ph.: (0141) 2223996, 4039610*

Annexure-A

Terms & Conditions-Cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions :

In these Terms and Conditions the tyerms shall have following meaning unless indicated otherwise.

Fees, Charges and deposits

1. "Depositorty" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Tower, Dalal Street, Fort, Mumbai-400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The terms covers all types of Dps who are allowed to open demat accounts for investors.
3. 'BO' means Depository Participant of CDSL. The terms covers all types of DPS who are allowed to open demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. 'Alerts' means a customized SMS sent to the BO over the said mobile phone number.
6. 'Service Provider' means a cellular service provider (s) with whom the depository has entered/will be entering into an arrangement for providing the SMS alerts to the BO.
7. 'Service' means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability :

1. The service will be provided to the BO at his/her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. 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 may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the Bos who are residing in India,.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of trhe roamaing network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts froom the depository.

   In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to idemnify the depository of any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts :

1. The depository shall send alerts to the mobile phone number provided by the BO while registering for service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the Mobile phone is in 'off' mode i.,e. unable to receive the alerts then the BO may not get /get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the services depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledge that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and / or in accuracy. In case of BO observes any error in the information provided in the alert, the BO shall inform the depository and / or the DP immediately in writing and the depository will make best possible efforts to rectify the errors as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO an account to avail SMS alerts facility.
5. The BO authorized the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to The BO. The bo agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/unauthorized transfer of securities from his BO account, immediately, which may come to his knowdedge on receiving SMS allerts. The BO may send an email to CDSL at complaints@cdslindia.com The BO is advised not to inform the service provider about any such unauthorized debit to / transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.

Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder

7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the bo And The Depository Shall Not Be Under Any Obligation To Confirm The Authenticity Of The Person (s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees :

Depository reserves the right to changes such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer :

The depository shall made reasonable efforts to ensure that the Bo's personal information is kept confidential. The depository does not waranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts vacility. The Deposityory will not be liable for any unauthorized use or access to the information and / or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use / misuse of such information by an third person.,

Liability and Indemnity :

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, changes and expensesn whatsoever which a depository may at any time incur sustain, suffer or be put to as a consequence of or arising out or interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments :

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction :

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avial the SMS Alerts facility provided by the depository on my/our mobile numbre provided in the registration form subject to the terms and conditions mentioned below. I / We consent to CDSL providing to the service provider such information pertaning to account/transactions in my / our account as is necessary for the purpose of generations SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments there to made by the depository from time to time. I/we further undertake to pay fee/changes as may be levied by the depository from time to time.

I/We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am / are aware that more acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of registratyion / modification (Please cancel out what is not applicable)

DP ID	1	2	0	6	2	8	0	0	BO ID								

Sole/First Holer's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile No. on which messages are to be sent

+	9	1										

(Please write only the mobile number without prefixing country code or Zero)

The Mobile Number is registered in the name of :_____

E-mail Id _____

(Please write only ONE valid email id on which communication; if any, is to be sent)

Signature of Sole/First Holder | Signature of Second Holder | Signature of Third Holder

IN CASE OF JOINT HOLDING, ALL JOINT HOLDERS MUST SIGN.

*** Please do not use correction fluid, all cuttings must be attested by all the joint holder (s.)**

Place :.....Date :.....

RUNNING ACCOUNT AUTHORIZATION

To,

SUNSHINE STOCK BROKING PVT. LTD.

Corporate Office address : *303, The Summit Business Bay,*
Near Swan City Club, W-Exp. Highway, Off Hanuman Road, Vile Parle (E),
Mumbai - 400057

Registered office address: *F-46-B, 3rd Floor, Ramesh Marg,*
C-Scheme, Jaipur - 302 001 I Ph.: (0141) 2223996, 4039610

I/we have been / shall be dealing through you as my / our broker on the 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 am/We are aware that you and I/we have the option to deliver securities / make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives / regulations / circulars, issued by exchange / regulatory authorities, However, I/we find it difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our securities and monies as margin / collateral without which we cannot deal / trade.

Therefore I/we hereby direct and authorise you to maintain running account (s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/clearing corporations/other receiving party (ies) to settle my/our trades / dealings. Similarly, where I/we have to receive securities / funds in settlement of trades / dealings please keep the subject to your discretion and valuation please treat my / our securities and funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/trading.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. While setting the account please send a' statement of accounts' containing an extract from ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. Please explain in the statement (s) being sent the retention of funds/securities and the details of the pledge, if any. I/We agree that I/we shall bring any dispute arising from the statement of accounts or settlement so made to your notice within 7 working days from the date of receipt of funds / securities or statement, as the case may be in writing by delivery at your corporate/registered office. Please do not carry out above stated settlement of running account in the event I/we avail margin trading facility. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG) / Fixed Deposit receipts (FDR)

"Please further note that I shall be entitled to revoke this authorization at any time

My / our preference for actual settlement of funds and securities is at least :

☐ Once in a Calendar Quarter ☐ Once in a calendar Month

Thanking you,
Yours faithfully,

Signature with date

Name :..... Client Code :.....
[Note : To be signed by person himself / hereself not to be signed by his/her attorney / Authorized person etc.]

AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES / STATEMENTS

To,

SUNSHINE STOCK BROKING PVT. LTD.

Corporate Office address : *303, The Summit Business Bay, Near Swan City Club, W-Exp. Highway, Off Hanuman Road, Vile Parle (E), Mumbai - 400057*

Registered office address: *F-46-B, 3rd Floor, Ramesh Marg, C-Scheme, Jaipur - 302 001 I Ph.: (0141) 2223996, 4039610*

I/we have been / shall be dealing through you as my / our broker on the 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 reeive the contract notes, account statements / statement of securities physical form or electronic form. In pursuance of the same, I /we hereby opt for receipt of contract notes, account statements / statement of securities in electronic form. I / We uinderstand that for the above purpose, you are required to take from the client " an appropriate email account' for you to sent the elctronic contract notes and account statements. Accordingly, please take the following email account / email id on your record for sending the contract note to me / us.

E-mail ID_____

I/we agree not to hold you responsible for late / non receipt of contract notes and account statements 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).

In terms of the agreement entered into between us, in Digital form, Digital contract issued by your as per the terms and conditions specified shall be binding on me. I/We undetake to check the contract notes and bring the discrepancies of your notice within 24 hours of such issuance of contract notes, my / our non-verification or not accessing the contract on regular basis shall not be reason for disputing the contract note at any time.

This instruction to issue digital contract note is applicable with immedidate effect.

I/We also acknowledge the upload of contract notes / bills, statement of accounts / ledgers and other statements / documents for trading on NSE on your website www.ssbl.in / We hereby agree and confirm to verfy the information / documents that are sent on email and / or upload on the said website regularly and the same shall be deemed to be received by me/us (vide SEBI circular ref. No. SEBI/SMD/SE/12/2003/29/04 dated April 29, 2003, regarding issuance of contract notes / bills, statemenbts of ledger / accoun ts in digital / electronic form and also to disseminate the same on the webiste for easy access to the Investor)

I/We understand that I am required to intimate any change in the email Id/ email account mentioned herein above 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 / authorizations 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
Cleint Name :.....
[Note : To be signed by person himself/herself not to be signed by his/her attorney / Authorized person etc.]

Declaration by Firm (Sole Proprietor)

Date :
Sunshine Stock Broking Pvt. Ltd.

From :
Client Name :_____
Address:_____
_____

Dear Sir,

I refer to the trading account opened with you in the name of_____and declare and authorize you as under. I recognize that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorhip from as per regulations. To facilitate the operation of the abopve trading account with youy and forth purpose of completing the share transfer obligations pursuant to the trading operations,

I authorize you to recongnize the beneficiary account no. : _____with depository _____opened in the name the undersigned who is the sole propritor of the firm.
I agree that the obligation for shares purchased and/or sold by the firm will be handled and completed through transfers to form the above mentioned account. I recognize and accept transfers made by you in respect of trades executed in the above trading account of the firm.

Signature: _____
Signature (Please sign with Stamp fo the firm)

HUF DECLARATION

To,

Date:_____

SUB : Declaration by the co-parcenrs of the HUF autyhorizing the Karta to tyrade on their behalf
Dear Sir,
I hereby request you to open our trazding account with you,m for our HUF. Being Karta of my family, I hereby dfeclare that following is the list of family members in our HUF, as on date of Application, i.e.

Sr. No.	Name of Family Member	Relations	Date of Birth
1.			
2.			
3.			
4.			
5.			

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for making this Application to open new Securities Account.
I agree that false/misleading information given by me or suppression of any matgerial information will render my said account liable for termination and further action. Further, I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking you,

Yours truly.

_____

Declaration to be given by Partnership Firm on Letter Head of the Firm

Date :

To,

From :
Client Name :_____
Address:_____
_____

We refer to the trading account opened with you in the name of_____and declare and authorize you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a 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 _____opened as joint in the name of partners of the firm as the demat account of the firm. We agree that the obligastion for shares purchased and/or sold by the firm will be handled and 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.We hereby authorize_____ partner in the firm to execute/sign and submit such documents, agreements, deeds etc. as any be neccessary fto enter into the agreement5 and engage in busine3ss weith and to place order for buying and selling of securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter fir adjustment of balances in family accounts.

Name of Partners (In Block Letters)	Signatures

Signature : _____

Signature (Please sign with Stamp of the firm)

BOARD RESOLUTION FORMAT ON LETTERHEAD OF COMPANY

CERTIFIEDTRUE COPY OF THERE SOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF _____AT THEIR MEETING HELD ON_____RESOLVED THAT the Company do place orders with/give instruction to_____for buying and selling index/tocks based futures and optioins on the derivati Segment of NSE and BSE & buying and Selling of securities in cash segment, Derivatives and F & O Segment of BSE/NSE and to execute transactions in it.
RESOLVED FURTHER THAT any one of the following Directors/Executives/Officers of the Company, whose speciman signatures are appended here under.

No.	Name of Authorised person	Specimen Signature

Be and are hereby authorized severally to

1. Sign, execute and deliver orders, Instructions letters, notes, contracts, share transfer forms and such other documents as may considered necessary form time to time for the aforesaid purpose, and
2.. Take all such actions and do all such things, as may be deemed prudent, necessary and expedient for giving effect to the above resolution from time to time.

RESOLVED FURTHER THAT the above resolution shall remain effective and in force till such time as a fresh resolution cancelling or amending the same is passed by the Board of Directors of the Company is furnished to_____

RESOLVED FURTHER THAT a copy of the above resolution duly certified as true by any one of the Directors of the Company be furnished to_____and such other parties as may be required from time to time.

CERTIFIED TRUE COPY

_____

(Director)

Authorization for Debiting the Trading Accounts/Depository Charges for & Undertaking for the Payments of Interest in case of occurrence of Debit Balance

To,

SUNSHINE STOCK BROKING PVT. LTD.

Corporate Office address : *303, The Summit Business Bay, Near Swan City Club, W-Exp. Highway, Off Hanuman Road, Vile Parle (E), Mumbai - 400057*

Registered office address: *F-46-B, 3rd Floor, Ramesh Marg, C-Scheme, Jaipur - 302 001 I Ph.: (0141) 2223996, 4039610*

Dear Sir / Madam

I/We_____residing at _____

_____

_____maintain a trading account with client code_____("the said account") with **SUNSHINE STOCK BROKING PVT. LTD.** company incorporated and registered under the companies Act. 1956 and haring its corporate office at 303, THE SUMMIT BUSINESS BAY, NEAR SWAN CITY CLUB, W-EXP. HIGHWAY, OFF HANUMAN ROAD, VILE PARLE (E), MUMBAI - 400057. Herein after called the broker (which expression shall unless it be repugant to the context or meaning thereof mean and include its successors in title.)

I/We authorize the **Sunshine Stock Broking Private Limited** to debit the said Account for the service charges related to Depository Services payable by me/us for my / our BO account no. 12062800_____

Thanking you

Yours Faithfully

_____

(Signature of Client)

Witnessed :

Declaration cum Consent Letter for use of family member's email id and mobile no.

To,
The Director
M/s Sunshine Stock Broking Pvt. Ltd.

Corporate Office address : *303, The Summit Business Bay, Near Swan City Club, W-Exp. Highway, Off Hanuman Road, Vile Parle (E), Mumbai - 400057*

Registered office address: *F-46-B, 3rd Floor, Ramesh Marg, C-Scheme, Jaipur - 302 001 I Ph.: (0141) 2223996, 4039610*

Sub.: Declaration for use of Email id and Mobile No.

Dear Sir,

I/we request you to please update following email id and mobile no. of my/our family member for client id/s as mentioned below.

Sr. No.	Client name for whom family member's email id and mobile No. is to be used	Client ID and client code for which family member's email id and mobile No. is to be used	Email id & mobile no. of Family member's	Name of family member whose email id and mobile no. is to be used	Relationship with family member	Signature of Client who proposes to use email id and mobile no. of his/her family member
1.						
2.						
3.						
4.						
5.						

Place : _____

Date : _____

(51)

SUNSHINE STOCK BROKING PVT. LTD.

SEBI REG. NO. IN-DP-CDSL-525-2009 • DP ID 12062800

Corporate Office address : *303, The Summit Business Bay, Near Swan City Club, W-Exp. Highway, Off Hanuman Road, Vile Parle (E), Mumbai - 400057*

Registered office address: *F-46-B, 3rd Floor, Ramesh Marg, C-Scheme, Jaipur - 302 001 I Ph.: (0141) 2223996, 4039610*

(To be filled by the Depository Participant)

Client ID	1	2	0	6	2	8	0	0								

	First / Sole Holder	**Second Holder**	**Third Holder**
Name			
Specimen Signature			

. . . . . Please Tear Here . . . . . .

SUNSHINE STOCK BROKING PVT. LTD.

Application No. **ACKNOWLEDGEMENT RECEIPT** Date_____

We hereby acknowledge the receipt of the Account Opening Application Form:

Name of the Sole / First Holder	
Name of Second Joint Holder	
Name of Third Joint Holder	

For

Authorised Signatory
Depository Participant Seal and Signature

. . . . . Please Tear Here . . . . . .

SUNSHINE STOCK BROKING PVT. LTD.

Nomination Acknowledgement Receipt

Received nomination request from :

Client ID	1	2	0	6	2	8	0	0								

Name			
Address			
Nomination in favor of			
Registration No.		Registered on	

For : SUNSHINE STOCK BROKING PVT. LTD.

Authorised Signatory
Depository Participant Seal and Signature

DEMAT ACCOUNT OPENING REQUIREMENTS

General Information for filling Application

1. Read the application form properly before filling it.
2. Application form should be fille in CAPITAL letters.
3. All required documents should be submitted for all the account holders.
4. Form should be complete in all respect.
5. Strike off whichever is not applicable.
6. All communication shall be sent at the address of the sole/first holder only.
7. Thumb impression and signature other than English or Hindi or any of the other language not contained in the 8th schedule of the Constitution of India must be attested by a Magistrate of Notary Public or a Special Executive Magistrate.

Documents valid for Proof of Identity and Proof of Address (submit & Tick any one)

Proof of Identity (POI) List of documents admissible as Proof of Identity :	**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)
Unique Identification Number (UID) / Passport Voter ID Card / Driving License / PAN Card with photograph	Passport / Voter Identity Card/ Ration Card / Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill / Insurance copy
Identity Card/Document with applicant's Photo, issued by any of the following : a) Central/State Government and its Depatments. b) Statutory / Regulatory Authorities. c) Public Sector Undertakings. d) Scheduled Commercial Banks. e) Public Financial Institutions. f) Colleges affiliated to Universities g) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., To their Members, and h) Credit cards / Debit cards issued by Banks.	Utility bills like Telephone Bill (only lane line), Electricity Bill or Gas Bill (not more than 2 months old)
	Bank Account Statement / Passbook (not more than 2 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 the following : Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank / Multinational Foregin Banks / Gazatted Officer / Notary Public / Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
	Identity Card / Documents with address, issued by any of the following : Centra/State Government and its Departments, Stautory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
	For FII/sub account, Powre 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 betaken.
	The Proof of address in the name of the spouse may be accepted.

Fax Indemnity on Rs. 200/- Stamp Paper Power of Attorney is Required on Rs. 200/- Stamp Paper

CHECKLIST

INDIVIDUALS

1. Copy of PAN Card.
2. Copy of Valid Identity Proof and Address Proof. (Address Proof is to be submitted for permanent as well as correspondence address.)
3. Passport size Photograph.
4. Cancel Cheque together with latest Bank Statement / Pass book.
5. NRI's are required to submit address proof for Indian as well as Foregin address.

HUF

1. Copy of PAN Card of HUF/Karta.
2. Copy of Valid Identity Proof and Address Proof of Karta.
3. Declaration by HUF is desired format.
4. Cancel Cheque of HUF's bank account together with latest Bank Statement / Passbook

MINOR

1. Copy of PAN Card of Minor.
2. Date of Birth Certificate of Minor.
3. Copy of Valid Identity Proof and Address Proof of Guardian.
4. Passport size Photograph of Minor & Guardian.
5. Cancel cheque of Minor's Bank Account together with latest Bank Statement / Pass book.

CORPORATE

1. Copy of the balance sheets for the last 2 financial years (to be submitted every year).
2. 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 certifiedc by the company secretary/Whole time director / MD (to be submitted every year.)
3. Photograph, POI, POA, PAN and DIN numbers of whole time directors / two directors in charge of day to day operations.
4. Photograph, POI, POA, PAN of individual promoters holding control- either directly or indirectly.
5. Copies of the Memorandum and Arcticles of Association and certificate of incorporation.
6. Copy of the Board Resolution for investment in securities market.
7. Autbhorised Signatories list with specimen signatures.

Separate KYC form is required for each joint holder.

(To be filled in by)

	NAME	DATE	INITIALS
Received by			
Checked by			
Entered by			

Most Important Terms and Conditions

- **Unique Client Code (UCC):** Every trading account has a unique UCC separate from your Demat account number. Never let anyone—including your broker, dealer, or representative—trade on your behalf without your explicit instruction.
- **Login Security:** Do not share your mobile or internet trading login credentials, OTPs, or T-PINs with anyone.
- **Margins and Collateral:** You must place margins before trading. Collateral can only be given via direct bank transfer to the broker's official listed bank accounts or through a margin pledge of securities from your Demat account. **Brokers cannot accept cash.**
- **Risk Management Policy:** Your trading limits, square-off rules, and risk controls are governed by the broker's published Risk Management Policy and tariff/charges sheet.
- **Securities Settlement:** Purchased securities are transferred to your Demat account within one working day (T+1), or handled via CUSPA (Client Unpaid Securities Pledging Account) pledge if payment is pending
- **Contract Notes and Statements:** The stock broker must issue digital or physical contract notes for your trades within **24 hours**.
- **Demat Debit and Pledge Instruction (DDPI):** Granting a DDPI is optional; it allows limited access to your Demat account for settlements without needing OTPs/T-PINs every time you sell.
- **Quarterly/Monthly Settlements:** Unutilized funds and securities are periodically settled and returned to your bank account as per SEBI timelines (typically quarterly or monthly).
- **Prohibitions:** Guaranteed return schemes, fixed-profit promises, or unauthorized pool-account trading are strictly illegal and carry no regulatory recourse under SEBI.
- **Grievance Redressal:** If you face disputes, you can raise complaints directly with the broker, the stock exchange investor grievance cell, or online via the **SEBI SCORES** or **Smart ODR** portal.

UCC

Name:

Sign

CDSL
Your Depository

NSE

BSE

SUNSHINE STOCK BROKING PVT. LTD.

Member : National Stock Exchange of India Limited
Bombay Stock Exchange Limited
Sebi Reg. No. : INZ000281939

Depository Participant : CDSL DP ID : 12062800
DP ID 12062800 SEBI REG. NO. IN-DP-CDSL-446-2019

Corporate Office : *303, The Summit Business Bay, Near Swan City Club, W-Exp. Highway, Off Hanuman Road, Vile Parle (E), Mumbai - 400057*

Registered Office : *F-46-B, 3rd Floor, Ramesh Marg, C-Scheme, Jaipur - 302 001*
Ph.: (0141) 2223996, 4039610, E-mail : dp@ssbl.in I info@ssbl.in