

# CLIENT REGISTRATION KIT



## Sunshine Finsec & Mercantile Ltd.

(Member : National Stock Exchange of India Ltd.)

• INDIVIDUAL • CORPORATE • HUF • PARTNERSHIP FIRM

CLIENT CODE \_\_\_\_\_

CLIENT NAME \_\_\_\_\_ BRANCH \_\_\_\_\_

FORM No. \_\_\_\_\_ DATE \_\_\_\_\_

**ACKNOWLEDGEMENT TO SUNSHINE FINSEC & MERCANTILE LTD. FROM CLIENT**

To,

**Sunshine Finsec & Mercantile Ltd.**

Regd. Office : Shop No. 27, Plot No. 22, DDA Market,  
Gita Mandir Marg, New Rajinder Nagar, New Delhi - 110060

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

I/we hereby confirm that I/we have read, understood, agreed and received a duly executed copy of the:-

- Account Opening Form
- Trading Account Related Details & Tariff Sheet
- Right and Obligations of Stock Brokers, Authorised Person and Clients
- Internet and Wireless technology based trading facility provided by Stock Brokers to Client
- Risk and Disclosure document for capital market and derivative segments
- Guidance note-Do's and Don't for trading on the Exchange(s) for Investors
- Policies and procedures
- FATCA & CRS Terms & Conditions
- Other disclosure/documents as agreed by me specifically in voluntary segment.

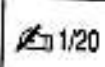
I/we am/are abiding by these terms & conditions. I/we reconfirm that I/we and stock broker shall refer any claim and/or disputes with respect to deposits, margin money, etc, to arbitration as per the Rules, Byelaws, and Regulation of the Exchanges where the trade is executed and circulars/notices issued there under as may be in force from time to time.

I/We reconfirm that I/we and Stock Broker shall refer all claims, differences or disputes between us arising out of or in relation to dealings, contracts and transaction made subject to the Bye-Laws, Rules and Regulations of the Exchange or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions and contracts have entered into to Arbitration in accordance with the provisions of these Byelaws and Regulations.

Thanks and Best regards,

Client Code : \_\_\_\_\_

For \_\_\_\_\_

Client Signature  1/20

\_\_\_\_\_  
Authorised Signatory Name

For **Sunshine Finsec & Mercantile Ltd.**

\_\_\_\_\_  
Authorised Signatory / Director

----- Tear Here -----

**RECEIPT OF PHYSICAL KIT / ELECTRONIC KIT**

To,

**Sunshine Finsec & Mercantile Ltd.**

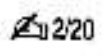
Regd. Office : Shop No. 27, Plot No. 22, DDA Market,  
Gita Mandir Marg, New Rajinder Nagar, New Delhi - 110060

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

I/we hereby confirm that I/we have received a copy of following documents :

- A. Right and Obligations of Member, Authorized Person and Clients .
- B. Internet and Wireless technology based trading facility provided by Member to Client
- C. Risk and Disclosure document for capital market and derivative segments
- D. Guidance note-Do's and Don't for trading on the Exchange(s) for Investors
- E. Policies and procedures

Preference :  Physical Kit  Electronic Kit

Client Signature  2/20

Client Name : \_\_\_\_\_

**ANNEXURE - 1**  
**ACCOUNT OPENING KIT**

**INDEX OF DOCUMENTS**

**MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES**

S.No.	Name of the Document	Brief 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.	1-5
		B. Document captures the additional information about the constituent relevant to trading account and an instruction / check list.	6-9
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/ trading member, Authorised Person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Given to the Client with Welcome Kit
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4.	Guidance Note	Documents detailing do's and don'ts for trading on exchange, for the education of the investors.	
5.	Policies and Procedures	Document describing significant policies and procedure of the stock broker.	
6.	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	10
7.	Disclosure Information	Client based trading & pro-account trading	10

**VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER**

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Running Account Authorisation	Letter where in Client Authorises Stock Broker to maintain running account.	11
2.	Authorisation for Electronic Contract Notes / SMS Alerts / Authorisation	Authorisation for Electronic Contract Notes / SMS Alerts / Authorisation	12
3.	Letter of Authority	To enable the trading member to act upon the clauses mentioned in the letter of authority	13
4.	Authorisation for Authorised Person	Authorisation for Authorised Person	14
5.	Client Defaulter Declaration	Declaration for being not involved in any Terrorist activity and not declared as defaulter by SEBI/NSE etc.	14
6.	Declaration for Name Mismatch	For authorizing the payout as per enclosed Bank Proof.	14
7.	Declaration by HUF	To be given by the karta and coparceners of the HUF	15
8.	Format of Board Resolution to be given by Corporate Client	Format of Board Resolution to be provided by Corporate entities on their letter head for opening of account	16
9.	Format of Declaration to be given by Partnership Firm	To be given by the Partners of the firm for opening of account	16
10.	Addendum to the Client Registration Form / Key Information	Information regarding prevention of money laundering	17
11.	FATCA & CRS Declaration	FATCA & CRS Declaration for Individual & Non-Individual	18-20

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- 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.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/P/O Card/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRIs, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository Participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark Sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- 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:

- PAN card with photograph. This is mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D)
- Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving License.
- 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.)

- Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 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 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.
- 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.
- For FI/sub account Power of Attorney given by FI/sub account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse shall be acceptable, subject to the submission of proof of relationship along with the same.

### D. Exemptions/clarifications to PAN

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

- 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.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50, 000/- p.a.

- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCI, 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:

- 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).
- 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
<b>Corporate</b>	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>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).</li> <li>Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>Photograph, POI, POA, PAN of individual promoters holding control-either directly or indirectly.</li> <li>Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>Copy of the Board Resolution for investment in securities market.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
<b>Partnership Firm</b>	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>Certificate of registration (for registered partnership firms only).</li> <li>Copy of partnership deed.</li> <li>Authorized signatories list with specimen signatures.</li> <li>Photograph, POI, POA, PAN of Partners.</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>Certificate of registration (for registered trust only), Copy of Trust deed.</li> <li>List of trustees certified by managing trustees/CA.</li> <li>Photograph, POI, POA, PAN of Trustees.</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>PAN of HUF.</li> <li>Deed of declaration of HUF/ List of coparceners.</li> <li>Bank pass-book/bank statement in the name of HUF.</li> <li>Photograph, POI, POA, PAN of Karta.</li> </ul>
<b>Unincorporated association or a body of individuals</b>	<ul style="list-style-type: none"> <li>Proof of Existence/Constitution document.</li> <li>Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
<b>Banks/ Institutional Investors</b>	<ul style="list-style-type: none"> <li>Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>Copy of SEBI registration certificate.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
<b>Army/ Government Bodies</b>	<ul style="list-style-type: none"> <li>Self certification on letterhead.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>Copy of Registration Certificate under Societies Registration Act.</li> <li>List of Managing Committee members.</li> <li>Committee resolution for persons authorized to act as authorized signatories with specimen signatures.</li> <li>True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>

## INSTRUCTIONS / CHECK LIST (for filling additional information related to trading account)

- Additional documents in case of trading in derivatives segments - illustrative list :

<ul style="list-style-type: none"> <li>Copy of ITR Acknowledgement</li> <li>Copy of Annual Accounts</li> <li>In case of salary income - Salary Slip, Copy of Form 16</li> </ul>	<ul style="list-style-type: none"> <li>Net Worth Certificate</li> <li>Copy of Demat account holding statement.</li> <li>Bank account statement for last 6 months</li> </ul>	<ul style="list-style-type: none"> <li>Any other relevant documents substantiating ownership of assets.</li> <li>Self declaration with relevant supporting documents.</li> </ul>
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- Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

- Demat master or recent holding statement issued by DP bearing name of the client.

#### 4. For Individuals:

- Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- In case of non-resident clients, employees at the stock broker's local office, overseas can do 'in-person' verification. Further, considering the infeasibility of carrying out 'in-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

#### 5. For non-Individuals:

- Form need to be initialized by all the authorized signatories.
- Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

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



**Important Instructions:**

- A) Fields marked with \* are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1958 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) 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

KYC Number  (Mandatory for KYC update request)

Account Type\*  Normal  Simplified (for low risk customers)  Small

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

Name\* (Same as ID proof) Prefix  First Name  Middle Name  Last Name

Maiden Name (if any\*)

Father / Spouse Name\*

Mother Name\*

Date of Birth\*

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

**PHOTO**

**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

B- Voter ID Card

C- PAN Card

D- Driving Licence  Driving Licence Expiry Date

E- UID (Aadhaar)

F- NREGA Job Card

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

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

Simplified Measures Account - Document Type code

Address

Line 1\*

Line 2

Line 3

District\*  Pin / Post Code\*  City / Town / Village\*  State / U.T Code\*  ISO 3166 Country Code\*

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

**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  City / Town / Village\*  
 Line 3  ZIP / Post Code\* ISO 3166 Country Code\*  
 State\*

**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)   
 FAX  Mobile  Self  Family   
 Email ID  Self  Family

**6. DETAILS OF RELATED PERSON** (In case of additional related persons, please fill 'Annexure B1' | 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 5 are optional)

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

A- Passport Number  Passport Expiry Date   
 B- Voter ID Card   
 C- PAN Card   
 D- Driving Licence  Driving Licence Expiry Date   
 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)**

**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 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:

**9. ATTESTATION / FOR OFFICE USE ONLY**

Documents Received  Certified Copies

KYC VERIFICATION CARRIED OUT BY		INSTITUTION DETAILS	
Date	<input type="text"/>	Name	SUNSHINE FINSEC & MERCANTILE LTD.
Emp. Name	<input type="text"/>	Code	<input type="text"/>
Emp. Code	<input type="text"/>		
Emp. Designation	<input type="text"/>		
Emp. Branch	<input type="text"/>		
	<input type="text"/>		

**KNOW YOUR CLIENT (KYC) Application Form - For Non-Individual**

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

(Please tick ✓ the box on left margin of appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding row)

Acknowledgement No. \_\_\_\_\_

<b>A</b>	<b>IDENTITY DETAILS</b>	<b>PHOTOGRAPH</b>  Please affix your recent passport size photograph and sign across it
<input type="checkbox"/>	Name of the Applicant _____	
<input type="checkbox"/>	Date of Incorporation _____ Place of Incorporation _____	
<input type="checkbox"/>	Date of commencement of business _____	
<input type="checkbox"/>	Permanent Account Number (PAN) _____	
<input type="checkbox"/>	Registration No. (e.g. CIN) _____	
<input type="checkbox"/>	Status (Please tick any one)	
<input type="checkbox"/>	<input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> FI <input type="checkbox"/> FI <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non-Government Organization <input type="checkbox"/> Defense Establishment <input type="checkbox"/> BOI <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Others (Please specify)	

<b>B</b>	<b>ADDRESS DETAILS</b>
<input type="checkbox"/>	Correspondence Address _____
<input type="checkbox"/>	City / Town / Village _____ Pin Code _____
<input type="checkbox"/>	State _____ Country _____
<input type="checkbox"/>	Contact Details
<input type="checkbox"/>	Tel. (Off.) _____ Fax _____
<input type="checkbox"/>	Tel. (Res.) _____ Mobile No _____
<input type="checkbox"/>	E-Mail Id. _____
<input type="checkbox"/>	Specify the Proof of Address submitted for Correspondence Address: _____
<input type="checkbox"/>	Registered Address (if different from above) _____
<input type="checkbox"/>	City / Town / Village _____ Pin Code _____
<input type="checkbox"/>	State _____ Country _____

<b>C</b>	<b>OTHER DETAILS</b>
<input type="checkbox"/>	Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and whole time directors : _____ If space is insufficient, enclosed these details separately (illustrative format enclosed)
<input type="checkbox"/>	DIN OF Whole time directors : _____ If space is insufficient, enclosed these details separately (illustrative format enclosed)
<input type="checkbox"/>	AADHAR No. OF Promoters/Partners/Karta : _____ If space is insufficient, enclosed these details separately (illustrative format enclosed)

<b>D</b>	<b>DECLARATION</b>
I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/ We are aware that I/we may be held liable for it.	
Date _____	4/20 Name & Signature of the Director/Authorised Signatory(ies)

<b>FOR OFFICE USE ONLY</b>
<input type="checkbox"/> Originals Verified & Self Attested Document copies received
Name & Signature of the Authorised Signatory
Seal/Stamp of the Intermediary
Date _____ Place : _____

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- 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.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PID Card/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRIs, Manner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository Participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark Sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- 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:

- PAN card with photograph. This is mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D)
- Unique Identification Number (UID) (Aadhar)/ Passport/ Voter ID card/ Driving license.
- 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, ICS, 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.)

- Passport/Voters Identity Card/ Ration Card/ Registered Lease or Sale

### 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
<b>Corporate</b>	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>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)</li> <li>Photograph, POI, POA, PAN and DIN numbers of whole time directors/whole time directors in charge of day to day operations.</li> <li>Photograph, POI, POA, PAN of individual promoters holding control either directly or indirectly.</li> <li>Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>Copy of the Board Resolution for investment in securities market.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
<b>Partnership Firm</b>	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>Certificate of registration (for registered partnership firms only).</li> <li>Copy of partnership deed.</li> <li>Authorized signatories list with specimen signatures.</li> <li>Photograph, POI, POA, PAN of Partners.</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>Certificate of registration (for registered trust only). Copy of Trust deed</li> <li>List of trustees certified by managing trustees/CA.</li> <li>Photograph, POI, POA, PAN of Trustees.</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>PAN of HUF</li> <li>Deed of declaration of HUF/ List of coparceners.</li> <li>Bank pass book/bank statement in the name of HUF.</li> <li>Photograph, POI, POA, PAN of Karta.</li> </ul>
<b>Unincorporated association or a body of individuals</b>	<ul style="list-style-type: none"> <li>Proof of Existence/Constitution document.</li> <li>Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
<b>Banks/Institutional Investors</b>	<ul style="list-style-type: none"> <li>Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>Copy of SEBI registration certificate.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
<b>Army/Government Bodies</b>	<ul style="list-style-type: none"> <li>Self certification on letterhead.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>Copy of Registration Certificate under Societies Registration Act.</li> <li>List of Managing Committee members.</li> <li>Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>

- Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old
- Bank Account Statement/Paybook - Not more than 3 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 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.
- 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, ICS, Bar Council etc., to their Members
- For FI/sub account Power of Attorney given by FI/sub account to the Custodian (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse shall be acceptable, subject to the submission of proof of relationship along with the same

### D. Exemptions/clarifications to PAN

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

- 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.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50,000/- p.a.
- In case of institutional clients, namely, FIs, MFs, VCs, FVCK, 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:

- 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)
- 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.



**Details of Promoters / Partners / Karta / Trustees and Whole Time Directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals**

Sr. No.	Name	Relationship with Applicant (i.e. promoters, whole time directors etc.)	PAN	Residential / Registered Address	DIN of whole time directors / Aadhaar number of Promoters / Partners / Karta	Photograph
1.					DIN :  UID :	
2.					DIN :  UID :	
3.					DIN :  UID :	
4.					DIN :  UID :	
5.					DIN :  UID :	

Name & Signature of the Authorised Signatory(ies) \_\_\_\_\_

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### TRADING ACCOUNT RELATED DETAILS

#### A. OTHER DETAILS

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

Net Worth (Net worth should not be older than 1 year) Amount Rs.....  
 as on (date)         (Compulsory for Non-Individuals)

- Occupation :  Private Sector  Public Sector  Government Service  Business  Professional  
 (please tick any one and give brief details)  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
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> 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)
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			

#### D. TRADING PREFERENCES

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

Stock Exchange			
NSE	<input type="checkbox"/> Cash <input style="width: 100px; height: 20px;" type="text" value="5(a)/20"/>	<input type="checkbox"/> F&O <input style="width: 100px; height: 20px;" type="text" value="5(b)/20"/>	<input type="checkbox"/> Currency <input style="width: 100px; height: 20px;" type="text" value="5(a)/20"/>

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

**F. DEALINGS THROUGH AUTHORISED PERSON (AP) AND OTHER STOCK BROKERS**




If client is dealing through the sub-broker, provide the following details:			
AP's Name			
SEBI Registration number			
Registered office address			
Ph.		Fax	
		Website	
Whether dealing with any other stock broker/AP (if case dealing with multiple stock brokers/AP's, provide details of all)			
Name of stock broker			
Name of AP, if any			
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker/AP			

**G. ADDITIONAL DETAILS**

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)	<input type="checkbox"/> Physical Contract Notes <input type="checkbox"/> Electronic Contract Note
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	<input type="checkbox"/> Sub Broker <input type="checkbox"/> Remisier <input type="checkbox"/> Auth. Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others _____
Address and Phone No. of the Introducer	
Sign. of the Introducer	

Date								UCC		DP ID		Client ID	
I/We Wish to make a nomination (As per details given below)													
<b>Nomination Details</b>													
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 / death													
Nomination can be made upto three nominees in the account			Details of 1 <sup>st</sup> Nominee			Details of 2 <sup>nd</sup> Nominee			Details of 3 <sup>rd</sup> Nominee				
1	Name of the nominee(s) (Mr./Ms.)												
2	Share of each Nominee	Equally First 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 Nominee (S)												
7	Nominee Identification details - Please tick any one of following and provide details of same		Photograph & Signature			Photograph & Signature			Photograph & Signature				
	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Demat Account ID <input type="checkbox"/> Proof of Identity												
7			 Signature of nominee			 Signature of nominee			 Signature of nominee				
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			
	Guardian Identification details- Please tick any one of following and provide details of same) <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> Pan account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> 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  
 † Optional Fields (information required at serial nos 5,6,7,11,12 & 14 is not mandatory)

**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)

<b>Name and Signature of Holder (S)</b>		
1. _____	2. _____	3. _____

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

UCC Code allotted to the 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 Finsec & Mercantile Ltd.**

\_\_\_\_\_  
Signature of the Authorised Signatory

Seal / Stamp of the Stock Broker

Date \_\_\_\_\_

**INSTRUCTIONS / CHECK LIST**

1. Additional documents in case of trading in derivatives segments - illustrative list :

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net Worth Certificate
Copy of Demat Account Holding Statement	Bank Account Statement for last 6 months
Any other relevant documents substantiating ownership of assets	Self declaration with relevant supporting documents.

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
- Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
  - In case of non-resident clients, employees at the stock broker's local office, overseas can do 'in-person' verification. Further, considering the infeasibility of carrying out 'in-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
- Form need to be initialized by all the authorized signatories.
  - Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

**BROKERAGE & STATUTORY CHARGES****Capital Market Segment**

Stock Exchange	Delivery Charges (in %age terms)	Minimum Delivery Charges per share (in Rs.)	Jobbing Charges (in %age terms)	Minimum Delivery Charges per share (in Rs.)
NSE / BSE	_____ %	Rs. _____ /-	_____ %	Rs. _____ /-

**Futures & Options Segment**

Nature of Transaction	in %age terms	Minimum (per Unit)	Minimum (per Lot)
Futures	_____ %	Rs. _____ /-	Rs. _____ /-
Options	_____ %	Rs. _____ /-	Rs. _____ /-

**Currency**

Nature of Transaction	In %age terms	Minimum (per Unit)	Minimum (per Lot)
Futures	_____ %	Rs. _____ /-	Rs. _____ /-
Options	_____ %	Rs. _____ /-	Rs. _____ /-

Note : In case of Physical Contract note are being dispatched to client, a difference of Rs. 25/- per in total brokerage booked on a particular date would be charged toward minimum processing fee.

Signature of Client **DISCLOSURE INFORMATION**

To,.....

Sir,

This is to inform you that we do client base trading and Pro-account trading.

Thanks and best regards,

**Sunshine Finsec & Mercantile Ltd.**

(Authorised Signatory)

I acknowledge receipt of your information that you do client based trading and Pro account trading.

Client Name :.....

Client Signature:  8/20.....

**RUNNING ACCOUNT AUTHORISATION**

To,

Date : .....

**Sunshine Finsec & Mercantile Ltd.**

Regd. Office : Shop No. 27, Plot No. 22, DDA Market,  
Gita Mandir Marg, New Rajinder Nagar, New Delhi - 110060

Dear Sir,

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Interest Rate future Segment & in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

1. I/we request and authorize 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 securities and monies with you and make credit entries for the same in running accounts of securities and funds maintained by you. Further, the funds & securities can be transferred from one segment to other and from one exchange to another as per the requirements.
2. In case I/We have an outstanding obligation 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.
3. I/We request you to retain securities and funds lying to my/our credit in running accounts as margin/collateral/pay-in/other-future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporation unless I/We instruct you to transfer the same to my/our account.
4. The stock broker is authorize to transfer funds &/ or securities from his/her/its 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 authorises 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.
5. I/We request you to settle my fund and securities account  Once in every calendar Quarter or  Once in a calendar Month or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
6. I/We further authorize you to retain an amount of upto Rs. 10,000/- (net amount across segment and across stock exchanges) in order to avoid administrative/operational difficulties in settling my/our account. The same may be released on my/our specific request.

The running account authorization provided by me shall continue and remain valid until it is revoked by me anytime in writing.

Thanking you

Yours Faithfully

9/20

Client Signature

Name : .....

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



**AUTHORISATION FOR ELECTRONIC CONTRACT NOTES / SMS ALERTS**

To,

**Sunshine Finsec & Mercantile Ltd.**

Dated : \_\_\_\_\_

Regd. Office : Shop No. 27, Plot No. 22, DDA Market,  
Gita Mandir Marg, New Rajinder Nagar, New Delhi - 110060

Dear Sir,

I/We have been / shall be dealing through you as my / our broker on the Capital Market and/ or Futures & Options Segments / Currency Derivative Segments, Mutual Fund. This instruction is applicable for all the exchanges / segments in which I / we have opened account with you. As my/our broker i.e. agent I/ We direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below. I/ We understand that, I / we have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/we hereby opt for receipt of contract notes in electronic form. I/ We hereby also give my/our consent for providing me/ us Trade Confirmations through your SMS alert services. Accordingly, please note my current email id and Mobile Number on your record for sending the communication to me / us.

Email Id : \_\_\_\_\_

Mobile No. : \_\_\_\_\_

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

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

I/ We understand that SMS Alert service is purely a voluntary facility provided by you to us and it shall be my/our responsibility to check the data with the actual contract notes/financial ledger given by you. The messages flashed shall be merely reminders for my/ our convenience and I/ We agree not to hold you liable for any incompleteness/ inaccuracies in the messages sent and that I/ We shall take all our actions based on the normal confirmations received by me/us.

In case, in any of the above segments / exchanges due to any reason, whatsoever, if you want to send contract notes in physical form, I /we here by permit you to send the same in physical mode.

I/We understand that I am required to intimate any change in the email id/ mobile number mentioned herein above through a duly signed request letter in original 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

\* \* \*

/s/ 10/20 \_\_\_\_\_

Client Signature

Client Name \_\_\_\_\_ Client Code \_\_\_\_\_

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

**AUTHORISATION**

To,

**Sunshine Finsec & Mercantile Ltd.**Regd. Office : Shop No. 27, Plot No. 22, DDA Market,  
Gita Mandir Marg, New Rajinder Nagar, New Delhi - 110060

Dear Sir,

I/We have been / shall be dealing through you as my / our broker on the Capital Market and/ or Futures & Options Segments. This instruction is applicable for all the exchanges / segments in which I / we have opened account with you. I/ We understand that, I / we have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/ we hereby opt for receipt of contract notes in physical form. I hereby authorize you to debit my account with Rs. 25 per contract note in addition to brokerage, STT or other statutory charges as stationary and postage charges.

Thanking you

Yours Faithfully

Client Signature /s/ 11/20 \_\_\_\_\_

Client Name \_\_\_\_\_ Client Code \_\_\_\_\_

## LETTER OF AUTHORITY

To,

**Sunshine Finsec & Mercantile Ltd.**

Dated : \_\_\_\_\_

Regd. Office : Shop No. 27, Plot No. 22, DDA Market,  
Gita Mandir Marg, New Rajinder Nagar, New Delhi - 110060

**Sub: Letter of Authority Cash/F&O/ Mutual Fund Segment of the Exchange**

I/we dealing with you as client at NSE in Cash & Derivative Segment and in order to facilitate ease of operations, I/We authorise you as under :

1. I/We authorise you to set off outstanding in any of my/our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchange and/or against the value of cash margin or collateral shares provided to you by me/us.
2. I/We hereby authorise you not to provide me/us Order Confirmation/ Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.
3. I/We hereby authorise you to keep all the securities which I/We have given you in margin including the payout securities received by us for meeting margin / order obligation in any of the stock exchanges in whatever manner which may include pledging of shares in favour of bank and / or taking loan against the same or meeting margin/ pay in obligation on my/our behalf or for giving the same as margin to the any of the Stock Exchanges or otherwise.
4. I/We request you to retain credit balance in any of my/our account and to use the unused funds towards my/our margin/future obligation at any or both the Exchanges unless I/We instruct you otherwise. I/we also authorize you to debit the necessary demat charges from time to time, for keeping the shares in your client demat beneficiary account on my behalf. I/We also authorise you to debit the financial charges @2% p.m., for the debit balances, if any, in my account and not settled as per the exchange requirements.
5. I/We request you to retain Securities in your demat account for my/our margin/future obligations at all Exchanges, unless I/We instruct you to transfer the same to my/our account.
6. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephonic unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.
7. We request that you may send/dispatch us contract notes/other documents through e-mail on my/our designated e-mail address of \_\_\_\_\_ I/We will completely rely on the log reports of you dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not disputed on the same.
8. I/We will inform you the change of my/our email: ID, if any, in future either by regd. Post or through a digitally signed e-mail.
9. I/We are aware and acknowledge that trading of all exchanges is in Electronic mode, based on Vsat, lease line, ISDN, Modem, VPN, Internet and/or combination of technologies and computer system to place and route order and also involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, pay in payout of funds & securities, online & offline banking etc. these are susceptible to interruptions, delay, mistake and dislocations; and your services may at any time be unavailable without further notice and I/we understand that there exists a possibility of communication failure or system problems or slow or delay response from system or trading halt, or any such other problem/glitch whereby not been able to establish access to the trading system/network or delay in execution of trades, which may be beyond your control any may result in delay in processing or not processing of any orders either in part or in full. I understand that you are not making any representation or warranty that your service will be available to the Client at all times without any interruption. I/We agree that I/We shall not have any claim for any loss incurred by me/us against you on account of any suspension, delay, interruption, non-availability or malfunctioning of your System or Service for any reason whatsoever.
10. I/We confirm that I/We never sublet the trading terminal on any term of connectivity from my place to any other place without your prior approval.
11. I/We am/are agreeable for inter-settlement transfer of securities towards settlement.
12. I/we am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
13. All fines/penalties and charges/Bank charges levied upon you due to my acts / deeds or transaction may be recovered by you from my account.
14. I have a Trading relationship with **Sunshine Finsec & Mercantile Ltd.** Please debit the charges relevant with depository services from my trading account on monthly basis. I also agree to maintain the adequate balance in my trading account/ pay adequate advance fee for the said reason.

Thanking you  
Yours Faithfully

12/20

Client Signature

Client Name \_\_\_\_\_

Client Code \_\_\_\_\_

[Note: To be signed by person himself/herself not to be signed by his/her attorney/authorized person etc.]

**AUTHORISATION FOR AUTHORISED PERSON**

To,

**Sunshine Finsec & Mercantile Ltd.**

Dated : \_\_\_\_\_

Regd. Office : Shop No. 27, Plot No. 22, DDA Market,  
Gita Mandir Marg, New Rajinder Nagar, New Delhi - 110060

Dear Sir,

I have been/shall be dealing through you as my broker i.e. agent on the Cash Segment and/or Futures &amp; Options Segments, Mutual Fund, at NSE.

I/We authorize Mr./Ms. \_\_\_\_\_ R/o \_\_\_\_\_  
\_\_\_\_\_ to deal/transact on my/our behalf and to place orders, give instructions, make & receive payments of securities and monies, collect contract note bills, order confirmations, trade confirmations, account statements and any other documents or communication. Mr./Ms. \_\_\_\_\_ is also authorised by me/us to sign any document, settle the account, enter into any compromise and to do any and all act (s) on my/our behalf which I/we can do. And I/we the undersigned do hereby agree and declare and confirm that all the acts and things done by him / her shall substitute my/our act, deeds and things validity done by me/us to all intents and purposes.

Please treat this authorization as written ratification of my/our verbal directions/authorizations given and carried out by you earlier. I/we agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our authorisation given above.

Thanking you

Yours Faithfully

13/20

Client Signature

Client Name \_\_\_\_\_

Client Code \_\_\_\_\_

[Note: To be signed by person himself/herself not to be signed by his/her attorney/authorized person etc.]

**DECLARATION FOR NAME MISMATCH**

Date \_\_\_\_\_

I hereby declare that

1. My name mentioned in PAN Card is \_\_\_\_\_
2. In additional I D Proof i.e. Voter Id / Passport / Driving License it is \_\_\_\_\_
3. In Bank A/c No. \_\_\_\_\_ it is \_\_\_\_\_
4. In \_\_\_\_\_ is this \_\_\_\_\_

Further I declare that the names mentioned in above details document pertains to me, therefore I request my account and make all payouts in the same name as mentioned in my bank proof.

14/20

Client Signature

Client Name \_\_\_\_\_

Client Code \_\_\_\_\_

**CLIENT DEFAULTER DECLARATION**

I, \_\_\_\_\_ having PAN No. \_\_\_\_\_ do hereby declare that I have not been involved in any terrorist activity and I have not been declared as defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchanges/ Regulatory bodies/ CIBIL (Credit Information Bureau of India Ltd.) etc.

I further declare that the above mentioned declaration/statement is true and correct.

Thanks

15/20

Client Signature

Client Name \_\_\_\_\_

Client Code \_\_\_\_\_

**DECLARATION OF HUF (To be filled in case of HUF A/c Only)**

To,

**Sunshine Finsec & Mercantile Ltd.**

Dated : \_\_\_\_\_

Regd. Office : Shop No. 27, Plot No. 22, DDA Market,  
Gita Mandir Marg, New Rajinder Nagar, New Delhi - 110060

As our HUF firm wishes to open an account with you in the said name.....we beg to say that the first signatory to this letter, i.e., ..... is the Karta of the Joint Family and other signatories are the adult co-parceners of the said family.

We further confirm that the business of the said joint family is carried on mainly by the said Karta as also by the other signatories hereto in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims due to the exchange from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the Karta, including the share of minor co-parceners. In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952, we have not got our said firm registered under the said Act.

We hereby undertake to inform you the death or birth of a co-parcener of any change occurring at any time in the membership of our joint family during the operating of the account

16/20

Signature of Karta (with Rubber Stamp)

Name of Signature of Adult Co-Partionors of HUF (Use Annexure of additional Members)						
Sr. No.	Name of Co-partionors of HUF	Gender (M/F)	Relationship with Karta	Date of Birth	PAN No.	Signature
1.						
2.						
3.						
4.						

Name of Minor Co-Partionors of HUF (Use Annexure of additional Members)				
Sr. No.	Name of Co-partionors of HUF	Gender (M/F)	Relationship with Karta	Date of Birth
1.				
2.				
3.				
4.				

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 an account. I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action.

Thanking you,

17/20

Signature of Karta (with Rubber Stamp)

**FORMAT OF BOARD RESOLUTION TO BE GIVEN BY CORPORATE CLIENT  
(TO BE PRINTED ON LETTER HEAD OF COMPANY)**

**CERTIFIED TRUE COPY OF EXTRACTS OF THE MINUTES OF THE MEETING OF THE BOARD  
OF DIRECTORS OF \_\_\_\_\_ (Co. Name) CONVENED ON  
THE \_\_\_\_\_ (date) / TIME AT \_\_\_\_\_**

\_\_\_\_\_  
(Venue)

**\*RESOLVED THAT** an account for the purpose of trading in Securities be opened with M/s, **Sunshine Finsec & Mercantile Ltd.**, Member - National Stock Exchange of India Ltd, hereinafter referred to as the Broker, for undertaking sale & purchase of Securities on the said exchange(s).

**FURTHER RESOLVED THAT** Shri \_\_\_\_\_ and Shri \_\_\_\_\_, Directors of the Company, be and are hereby, authorised severally to do all such acts, deeds, things and sign all documents papers, authorisations, agreements etc. as may be necessary for opening and operating the said account with Broker.

**FURTHER RESOLVED THAT** the aforementioned Directors, be and are hereby, authorised severally, to give instructions on behalf of the Company, for conducting trading in securities for and on behalf of the Company.

**FURTHER RESOLVED THAT,** a copy of this resolution be forwarded to the Broker by Shri \_\_\_\_\_ or Shri \_\_\_\_\_ Directors, & the Broker, be instructed to honour the instructions of Shri \_\_\_\_\_ and / or Shri \_\_\_\_\_, Directors of the Company to carry on trading in Securities.

Certified true copy

For (Name of the Company)

Dated: 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Director

Place: 

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**FORMAT OF DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM ON LETTER HEAD OF THE FIRM**

To,

**Sunshine Finsec & Mercantile Ltd.**

Date \_\_\_\_\_

Regd. Office : Shop No. 27, Plot No. 22, DDA Market,  
Gita Mandir Marg, New Rajinder Nagar, New Delhi - 110060

Dear Sir,

We refer to the trading account being opened / opened with you in the name of \_\_\_\_\_ and declare and authorise 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 applicable law. 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 authorise you to recognize the beneficiary account No. \_\_\_\_\_ with depository \_\_\_\_\_ opened as a joint account in the names of the partnership of the firm.

We agree that the obligations for Securities purchased and/or sold by the firm will be handled and completed through transfer to/from the above mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above Securities trading account of the firm.

We hereby authorize \_\_\_\_\_, partner in the firm to execute/sign and submit such documents, agreements, deeds etc. as may be necessary to enter into the agreement and engage in business with Sunshine Finsec & Mercantile Ltd., 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 for adjustment of balances in family accounts.

Name of Partners (in block letters)	Signature

**ADDENDUM TO THE CLIENT REGISTRATION FORM / KEY INFORMATION**

Date .....

In compliance with the provisions of Prevention of Money Laundering Act, 2002 and subsequent circulars issued by SEBI thereto, we hereby obliged to consider it as a part of client registration document: -

**PREVENTION OF MONEY LAUNDERING**

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436(E) dated July 1, 2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number CIR/ISD/AML/3/2010 dt. 31/12/10 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Section 12 of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

The constituents should ensure that the amount invested in the securities is through legitimate sources only and does not involve and is not designated for the purpose of contravention or evasion of the provision of the Income Tax Act, Prevention of Money Laundering Act, Prevention of corruption Act and/or any other law for the time being in force enacted by Govt. of India from time to time or any rules and regulations, notifications or directions issued there under.

To ensure appropriate identification of the constituents under its KYC policy and with view to monitor the transactions for the prevention of anti money laundering, the company has reserve the right to seek information, record constituents telephonic calls and/or obtained or retained documentation for establishing the identity of the constituents, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

The constituents or their attorney, if any, shall produce independent source documents, such as photographs, certified copies of ration card/passport/pan card/driving license or such other documents or produce such information as may be required from time to time for verification of the identity, residential address, financial information of the constituents by the company.

If the constituents refuses/fails to produce the required documents and information within the period specified in the communication sent by company to the constituents, then the company after applying due diligence measures believes that the transaction is suspicious in nature within the purview of the Act and SEBI circulars issued from time to time or on account of deficiencies in the documentation shall have absolute discretion to report suspicious transaction to FIU-IND or to reject the application or to freeze the account of constituent. Thus the KYC documentation shall comply by all the constituents in its true spirit and word.

The Company, its Directors, its Employees and agents shall not be liable in any manner for any claim arising whatsoever on account of freezing of account or on rejection of application etc. due to noncompliance of the provisions of the Act, SEBI circulars and KYC policy and or where company believes that transaction is suspicious in nature within the purview of the Act or SEBI circulars and reporting the same to FIU-IND.

This document form an integral part of the client registration form as addendum or key information memorandum and will be subject to amendments from time to time.

18/20

Client Signature

Name : .....

# FATCA & CRS Declaration - Individual

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

Name														
Place of Birth														
Country of Birth														
Nationality														
Constitute	<input type="checkbox"/> Individual <input type="checkbox"/> NRI <input type="checkbox"/> Foreign National <input type="checkbox"/> Others (Pl. Specify) _____													

Are you a tax resident of any country other than India -     Yes     No

If Yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

S.No.	Country <sup>#</sup>	Tax Identification Number <sup>%</sup>	Identification Type <i>(TIN or other, please specify)</i>
1.			
2.			
3.			

<sup>#</sup> To also include USA, where the individual is a citizen / green card holder of the USA

<sup>%</sup> In case Tax Identification Number is not available, kindly provide its functional equivalent \$

### CERTIFICATION

I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I / We also confirm that I / We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the

### FATCA & CRS - TERMS & CONDITIONS

Details under FATCA & CRS : The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account of any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e. within 30 days.

It is important that you respond to our request, even if you believe you have already supplied any previously requested information.

Date :

Place :

✍ 18/20

Signature

# FATCA & CRS Declaration - Non Individual

PAN

Name

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India  Yes  No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other; please specify)
1.			
2.			
3.			

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

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

### PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

1. We are a, Financial institution  (Refer 1 of Part C) or Direct reporting NFE  (Refer 3(vi) of Part C) (please tick as appropriate)

**GIIN**

**Note:** if you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

Name of sponsoring entity

**GIIN not available** (please tick as applicable)  Applied for  Not obtained - Non-participating FI  Not required to apply for - please specify 2 digits sub-category  (Refer 1 A of Part C)

### PART B (please fill any one as appropriate to be used by NFEs other than Direct Reporting NFEs)

1. Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C) Yes  (if yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange

2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C) Yes  (if yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company  Nature of relation:  Subsidiary of the Listed Company or  Controlled by a Listed Company Name of stock exchange

3. Is the Entity an active NFE (Refer 2c of Part C) Yes  Nature of Business  Please specify the sub-category of Active NFE  (Mention code - refer 2c of Part C)

4. Is the Entity a passive NFE (Refer 3(i) of Part C) Yes  Nature of Business

### UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)

Category (Please tick applicable category):  Unlisted Company  Partnership Firm  Limited Liability Partnership Company  Unincorporated association / body of individuals  Public Charitable Trust  Religious Trust  Private Trust  Others (please specify )

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)



Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN <sup>†</sup>			
Address	Zip <input type="text"/> State _____ Country: _____	Zip <input type="text"/> State _____ Country: _____	Zip <input type="text"/> State _____ Country: _____
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office
Tax ID <sup>‡</sup>			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD MM/YYYY	DD MM/YYYY	DD MM/YYYY
Percentage of Holding (%) <sup>§</sup>			

\* To include US, where controlling person is a US citizen or green card holder

† If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

‡ In case Tax Identification Number is not available, kindly provide functional equivalent

§ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

### DECLARATION

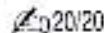
I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Sunshine Finsec & Mercantile Ltd. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name

Designation

Client Signature

 20/20

Date : | D | M | Y | Y | Y | Y |

Place : |

For Investor convenience, Sunshine Finsec & Mercantile Ltd. collecting this mandatory information for updating across all Group Companies of Sunshine Finsec & Mercantile Ltd. whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest Sunshine Finsec & Mercantile Ltd. branch or you can dispatch the hard copy to-

**Sunshine Finsec & Mercantile Ltd.**

Shop No. 27, Plot No. 22, DDA Market, Gita Mandir Marg., New Rajinder Nagar, New Delhi-110060

• For Detail Terms & Conditions please visit [www.sunshineline.com](http://www.sunshineline.com)

### CHECK LIST FOR CLIENT REGISTRATION FORM

FORM RECEIVING DATE : ACCOUNT OPENING DATE TM DP	BRANCH CODE : GROUP CODE :	CLIENT CODE TM : DP :
--	-------------------------------	-----------------------------

1.	CHECKING DETAILS	YES/NO	REMARKS
a)	Name as it appears on the ID & Address Proof (in capital letter)		
b)	Signature of Client on all pages and wherever necessary (Witness wherever required) <input type="checkbox"/>		
c)	Signature Checked and Verified.		
d)	Photograph (duly signed) <input type="checkbox"/>		
e)	A copy of PAN Card (Self Attested) <input type="checkbox"/>		
f)	Address Proof (Self Attested) <input type="checkbox"/>		
g)	Bank Proof containing Client Name (Self Attested) <input type="checkbox"/>		
h)	Demat Account Proof (Self Attested) <input type="checkbox"/>		
i)	Brokerage :    Intra Day _____ Min _____ Delivery _____ Min _____ F & O Intra Day _____ EOD _____ Option _____		
k)	Exchange given : <input type="checkbox"/> NSE CM <input type="checkbox"/> NSE F&O		
2.	Franchisee and Client to be informed if any of the above detail is missing or invalid by _____ Date _____ Time _____		
3.	Details Punched in Computer by TM _____ DP _____		
4.	Cross Checking done by TM _____ DP _____		
5.	UCC UPLOADED : <input type="checkbox"/> NSE <input type="checkbox"/> ENTERED IN FORM DATA		
6.	<b>BACK OFFICE WEB LOGIN</b> User Name ID _____ Password _____		
7.	Form sent to Surveillance by _____ Date : _____ Time : _____		
8.	Client ID Mapping done by _____ Branch ID _____ User ID: _____ Dealer ID : _____		
9.	<b>INTERNET TRADING</b> <input type="checkbox"/> Odin Diet <input type="checkbox"/> I-Net User ID _____ Password _____		
10.	Form sent to DP by _____ Date : _____ Time : _____		
11.	Client Account Status Report issued by _____		
12.	Form Returned to Compliance by _____ Date : _____ Time : _____		
13.	Kit Dispatched on _____ (Date)		



## Sunshine Finsec & Mercantile Ltd.

(CIN : U67120DL1996PLC079893)

Member : National Stock Exchange of India Ltd. (Cash and F&O Segment)  
SEBI Regn. No. : INZ000297032

Regd. Office : Shop No. 27, Plot No. 22, DDA Market,  
Gita Mandir Marg, New Rajinder Nagar, New Delhi - 110060

Phone : 91-11-40043901-904, 45870039

E-mail : sunshine.finsec@gmail.com

Visit us at : www.sunshinefinsec.com

Branch Office : 1, Navyug Market, Ghaziabad-201001 (U.P.)

Phone : 0120-4125358, 4126832, 4568040

