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9.	Risk Disclosure Document (RDD) Equity Trading	Document detailing Risks associated with dealing in the Securities Market.	Given With Welcome Kit
10.	Guidance note	Document detailing do's and don'ts for Trading on exchange, for the education of the investors.	Given With Welcome Kit
11.	Rights and Obligations (DP)	Document stating the Rights and Obligations of Depository Participant and Beneficiary Owner	Given With Welcome Kit
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I/We have fully understood the distinction and details regarding the Mandatory/Non-Mandatory documents and do hereby enter and sign the same and agree not to call into question the validity, enforceability and applicability of any agreement(s)/document(s) or clauses within any Non-Mandatory agreement(s)/document(s) under any circumstances what so ever.

Signature of Client (1)

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RISK DISCLOSURES ON DERIVATIVES

- 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses.
- On an average, loss makers registered net trading loss close to ₹ 50,000.
- Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs.
- Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

Source: SEBI study dated January 25, 2023 on "Analysis of Profit and Loss of Individual Traders dealing in equity Futures and Options (F&O) Segment", wherein Aggregate Level findings are based on annual Profit/Loss incurred by individual traders in equity F&O during FY 2021-22.

I have read and understood the above-stated Risk Disclosure and acknowledge the same.

Signature of Client (2)

--

DECLARATION FOR PRO TRADING

We **Sunshine Finsec & Mercantile Ltd.**, hereby inform all our clients that besides trading on behalf of our Clients, we also do Proprietary Trading in our own account.



Consent for sharing of Aadhaar data

To

Date:- / /

SUNSHINE FINSEC & MERCANTILE LTD.

Shop No.27, Plot No.22, DDA Market
Gita Mandir Marg, New Rajinder Nagar,
New Delhi - 110 060

I/We understand that Sunshine Finsec & Mercantile Ltd. is in the business of providing trading services for buying/selling of securities to its clients.

I/We am/are desirous for opening of trading and demat account with **Sunshine Finsec & Mercantile Ltd** and hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/We under-take 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.

I am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA agencies only for the specific purpose validating/ maintaining/ sharing my KYC record and as an audit evidence. I will have an option to request for deleting of my Aadhaar record.

I hereby give my consent for receiving information including Central KYC Registry through SMS/Email on the above registered mobile number/email address. 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 share my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Dig locker XML file, along with pass code and as applicable, with SEBI, KRA, CKYC and other Institutions/ agencies/ Intermediaries with whom I have a business relationship for KYC purposes only.

Name of Client:

PAN:

Signature:

Instructions:

- 1- Ensure that you pan should be linked with your Aadhaar.
- 2- Clear Aadhaar copy with QR code will only be accepted.
- 3- Masked the first 8 digit of Aadhaar copy.




ACKNOWLEDGEMENT

SUNSHINE FINSEC & MERCANTILE LTD.

I / we hereby acknowledge the receipt of copy of Rights and Obligations, Risk Disclosure Documents(RDD), Policies & Procedures, Rights and Obligations of the Beneficial Owner and Depository Participant, Schedule of Service Charges, Account opening form and all Other Documents as executed by me/us, to open demat &/or trading account in equity & / or commodity exchanges.

Trading Code _____ Client ID : _____

Name & Signature of Client

	Sole/First Holder / Authorised Signatory	Second Holder / Authorised Signatory	Third Holder / Authorised Signatory
Signature	 (3)		
Name			

* Please stamp & Sign in case of Non-Individual Account ** In case of Joint holding, all joint holders must sign.

Date:

**A. Identity Details**

Please fill in ENGLISH and BLOCK LETTERS with black ink

1. Name of Applicant

Maiden Name (if any)

Father / Spouse Name

Mother Name

2. A. Gender ☐ Male ☐ Female ☐ Transgender B. Marital status ☐ Single ☐ Married ☐ Others _____3. PAN _____ Nationality / Citizenship ☐ Indian ☐ Other (Please specify) _____4. Residential Status ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin

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

☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist☐ Retired ☐ Housewife ☐ Student ☐ Others (Please specify) _____

5. UID/Aadhaar : x x x x x x x x Date of Birth d d m m y y y y

6. Proof of identity submitted for PAN exempt cases (see guideline 'D' in check list.)

B. Address Details

1. Address for Correspondence

State _____ City/Town/Village _____ Country _____ Pin Code _____

2. Contact Details

Mobile (Primary) (STD) _____ Mobile (Secondary) (STD) _____

Tel. (STD) _____ Fax (STD) _____

MOBILE (Primary) given by me belongs to ☐ Me ☐ Spouse ☐ Dependent children ☐ Dependent Parent

E-Mail ID. (In Capital Letters only) _____

E-MAIL ID given by me belongs to ☐ Me ☐ Spouse ☐ Dependent children ☐ Dependent Parent3. Specify the Proof of Address submitted for Residence / Correspondence Address ☐ UID ☐ Bank Statement ☐ Other _____

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

State _____ City/Town/Village _____ Country _____ Pin Code _____

5. Specify the Proof of Address submitted for Residence / Permanent Address _____

Declaration : I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I under take 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. I hereby declare that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time. I hereby give my consent for receiving information including Central KYC Registry through SMS/Email on the above registered number/email address.

I / We hereby provide my / our consent for sharing / disclosed of the Aadhaar number(s) including demographic information with Globe group of companies, SEBI, Exchanges, CKYC, KRA, Depositories and any other institutions / agencies as per requirement.

SIGNATURE OF APPLICANT

(4)

Place: _____

Date: _____

IPV TO BE FILLED BY - EMPLOYEE/AP/OTHERS

Intermediary name OR code

☐ (Originals Verified) Self Certified Document copies received☐ (Attested) True copies of documents received Main Intermediary☐ IN-PERSON VERIFICATION (IPV) ☐ DOCUMENTS VERIFIED WITH ORIGINALS ☐ CLIENT INTERVIEWED BY

Date : d d / m m / y y y y Institution Name & Code : Globe Capital Market Limited

Name : _____ Code : _____

Designation : _____ Signature : _____



SUNSHINE FINSEC & MERCANTILE LTD.

ADDITIONAL KYC FORM FOR OPENING A DEMAT & TRADING ACCOUNT INDIVIDUALBOID

1	2	0	9	9	3	0	0										
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a demat account in my/our name as per following details :

A. TYPE OF ACCOUNT (Please tick whichever is applicable)

<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual Director	<input type="checkbox"/> Individual Director's Relative
	<input type="checkbox"/> Individual HUF/AOP	<input type="checkbox"/> Individual Promoter	<input type="checkbox"/> Minor
	<input type="checkbox"/> Individual Margin Trading A/c (Mantra)	<input type="checkbox"/> Others (Specify) _____	
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI Non-Repatriable	<input type="checkbox"/> NRI Repatriable Promoter
	<input type="checkbox"/> NRI Non-Repatriable Promoter	<input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> Others (Specify) _____
Sub Type <input type="checkbox"/> TM-Client Securities Margin Pledge A/c <input type="checkbox"/> CM-Client Securities Margin Pledge A/c <input type="checkbox"/> TM/CM-Client Securities Margin Pledge A/c <input type="checkbox"/> Others _____			

B. HOLDERS DETAILS

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

* 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.

C. BANK DETAILS (Dividend Bank Details)

Bank Code (9 digit MICR Code)																	
IFS Code (11 Character)																	
Account Number																	
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____																
Bank Name																	
Branch Name																	
Bank Branch Address																	
City																	
State																	
Country																	
PIN																	

D. DETAILS OF GUARDIAN (in case the account holder is minor)

Guardian's Name		PAN															
Relationship with the applicant		Date of birth															

UCC Code :

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E. OTHER DETAILS (Mandatory information, to be filled by Client)

Gross Annual Income Details	Income Range per annum :				<input type="checkbox"/> Upto Rs. 1,00,000	<input type="checkbox"/> Rs. 1,00,001 to 5,00,000
	<input type="checkbox"/> Rs. 5,00,001 to 10,00,000		<input type="checkbox"/> Rs. 10,00,001 to 25,00,000		<input type="checkbox"/> More than Rs. 25,00,000	
	Net Worth as on (Date) :					Rs.
(Net Worth should not be older than 1 year)						
Occupation	<input type="checkbox"/> Private / Public Sector	<input type="checkbox"/> Govt. Service	<input type="checkbox"/> Business	<input type="checkbox"/> Professional	<input type="checkbox"/> Agriculture	
	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife	<input type="checkbox"/> Student	<input type="checkbox"/> Others (Specify) _____		
Please tick, if applicable <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)						
I/We instruct the SFML to receive each and every credit in my/our account (if not marked, the default option would be 'Yes')					[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No	
I/We would like to instruct the SFML 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')					<input type="checkbox"/> Yes <input type="checkbox"/> No	
Account Statement Requirement (If not marked, the default option would be as per SEBI Regulation)		<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly				
I/We request you to send Electronic Transaction-cum-Holding Statement at the email Id _____					<input type="checkbox"/> Yes <input type="checkbox"/> No	
I would like to share the email ID with the RTA					<input type="checkbox"/> Yes <input type="checkbox"/> No	
I would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)					<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic	
I/We wish to receive dividend/interest directly in to my/our 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]					<input type="checkbox"/> Yes <input type="checkbox"/> No	
Transactions Using Secured Texting Facility (TRUST) Refer to Terms and Conditions Annexure B		I wish to avail the TRUST facility using the Mobile Number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I 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)	
	First/Sole Holder or Guardian (in case of Minor)	Second Holder		Third Holder		
Name						
Signatures	(5)					

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/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository Participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark Sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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

1. PAN card with photograph. This is 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 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.
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, FIs, 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.

Please Submit the KYC Documents on A4 Size Paper Only.

ANNEXURE

Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and Wholetime/Other Directors :

1. Name

Date of Birth / / Status PAN

Residential Address

DIN UID DPIN

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:

☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (PEP)

Photographs of
Promoters / Partners /
Karta / Trustees /
Wholetime / Other
Directors &
authorised signatories

2. Name

Date of Birth / / Status PAN

Residential Address

DIN UID DPIN

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:

☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (PEP)

Photographs of
Promoters / Partners /
Karta / Trustees /
Wholetime / Other
Directors &
authorised signatories

3. Name

Date of Birth / / Status PAN

Residential Address

DIN UID DPIN

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:

☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (PEP)

Photographs of
Promoters / Partners /
Karta / Trustees /
Wholetime / Other
Directors &
authorised signatories

4. Name

Date of Birth / / Status PAN

Residential Address

DIN UID DPIN

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:

☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (PEP)

Photographs of
Promoters / Partners /
Karta / Trustees /
Wholetime / Other
Directors &
authorised signatories

5. Name

Date of Birth / / Status PAN

Residential Address

DIN UID DPIN

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:

☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (PEP)

Photographs of
Promoters / Partners /
Karta / Trustees /
Wholetime / Other
Directors &
authorised signatories



SUNSHINE FINSEC & MERCANTILE LTD.

ADDITIONAL KYC FORM FOR OPENING A DEMAT & TRADING ACCOUNT (NON-INDIVIDUAL)BOID **1 2 0 9 9 3 0 0**

I/We request you to open a depository account in my/our name as per following details :

(Please fill all the details in CAPITAL/BLOCK LETTERS only)

Date **D D M M Y Y Y Y****A. TYPE OF ACCOUNT** (Please tick whichever is applicable)

Status	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Banks	<input type="checkbox"/> Trust	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> OCB	<input type="checkbox"/> FI	<input type="checkbox"/> CM	<input type="checkbox"/> FI
	<input type="checkbox"/> Clearing House	<input type="checkbox"/> Others (Specify) _____						
Sub Type	<input type="checkbox"/> TM-Client Securities Margin Pledge A/c <input type="checkbox"/> CM-Client Securities Margin Pledge A/c <input type="checkbox"/> TM/CM-Client Securities Margin Pledge A/c <input type="checkbox"/> Others _____							
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	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____							

B. HOLDERS DETAILS

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
UID / Aadhar			
Date of Incorporation/ 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), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

I/We instruct the SFML to receive each and every credit in my/our account (if not marked, the default option would be 'Yes')		[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No	
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly		
I/We request you to send Electronic Transaction-cum-Holding Statement at the email id _____			<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to instruct the SFML 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')			<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement (If not marked, the default option would be as per SEBI Regulation)	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly		
I would like to share the email ID with the RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No	
I would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)		<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic	
Do you wish to receive dividend/interest directly in to your 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]			<input type="checkbox"/> Yes <input type="checkbox"/> No
SMS Alert Facility Refer to Terms & Conditions given as Annexure B	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).		<input type="checkbox"/> Yes <input type="checkbox"/> No
Easi	To register for easi, please visit our website www.cdsiindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.		<input type="checkbox"/> Yes <input type="checkbox"/> No

C. OTHER DETAILS (Mandatory information, to be filled by Client)

Gross Annual Income Details	Income Range per annum :		
	<input type="checkbox"/> Upto Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,001 to 5,00,000 <input type="checkbox"/> Rs. 5,00,001 to 10,00,000 <input type="checkbox"/> Rs. 10,00,001 to 25,00,000 <input type="checkbox"/> More than Rs. 25,00,000		
	Net Worth as on (Date) : _____ Rs.		
(Net Worth should not be older than 1 year)			
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____		
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)		

UCC Code

D. BANK DETAILS (Dividend Bank Details)

Bank Code (9 digit MICR Code)									
IFS Code (11 Character)									
Account Number									
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____								
Bank Name									
Branch Name									
Bank Branch Address									
City		State		Country		PIN			

G.S.T. Registration Details (As applicable)




Sr No.	State	G.S.T. Registration Number
1.		
2.		

DECLARATION



I/We acknowledge the receipt of copy of document, "Right and Obligations of the Beneficial Owner and Depository Participant", The rules and regulations of the FATCA & CRS, Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.

I / We hereby provide my / our consent for sharing / disclosed of the Aadhaar number(s) including demographic information with Sunshine Finsec & Mercantile Ltd., SEBI, Exchanges, CKYC, KRA, Depositories and any other institutions / agencies as per requirement.

Authorised Signatories (Enclose a Board Resolution for Authorised Signatories)

HOLDER	NAME	SIGNATURE
Sole/First Signatory		(7) 
Second Signatory		
Third Signatory		

OTHER HOLDER

Second Signatory		
Third Signatory		

BOARD RESOLUTIONS

CERTIFIED TRUE COPY OF RESOLUTION PASSED IN THE MEETING OF BOAD OF DIRECTORS OF M/s
_____ (Name of the Company) HELD ON _____ DAY _____ OF
_____ 202 AT _____ OFFICE OF THE COMPANY

"RESOLVED THAT a Trading and or Demat account in the name of M/s _____ (Name of the Company) be opened with Sunshine Finsec & Mercantile Ltd., Member National Stock Exchange of India Ltd (NSE), Depository Participant of Central Depository Services (I) Ltd. (CDSL), companies incorporated under the Companies Act, 1956 and having Corporate office at Shop No.27, Plot No.22, DDA Market, Gita Mandir Marg, New Rajinder Nagar, New Delhi-110060, for the purpose of operating Demat account, dealing in Capital Market segment, Future and Options segment, commodity Segment or any other segment/instrument that may be introduced by the exchanges of which the companies stated herein are member.

"RESOLVED FURHTER THAT Mr. _____, & Mr. _____, Director(s) / Authorised Representative of the Company whose specimen signatures are attested below be and is hereby Severally/ Jointly authorized on behalf of the company to complete Client Registration form, Agreement and all other documents as may be deemed necessary to open and maintain account with herein mentioned companies. And give effect to this resolution Mr. _____ & Mr. _____, is authorized to operate demat / trading account, sell, purchase, transfer, endorse and/or otherwise deal through companies mentioned herein."

Specimen Signatures of the Authorized persons

Sr. No.	Name	Specimen Signature
1.		
2.		
3.		
4.		

"RESOLVED FURTHER THAT this resolution be communicated to the Sunshine Finsec & Mercantile Ltd., remain in force until notice in writing be given to the Companies mentioned herein."

For M/s _____ (Name of the Company)

Chairman

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (For Trading and Demat Account)

A. IMPORTANT POINTS

- Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities/commodities on behalf of company/firm/others.
- 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/PIO 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 NRI's, 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:

- Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
- PAN card with photograph.
- 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/Unique Identification Number (UID) (Aadhaar Letter).
- 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 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.
- 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.)

- 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, 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:

- 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 :

Type of Entity	Documentary Requirements
Corporate	<ul style="list-style-type: none"> 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/commodities market. Authorised signatories list with specimen signatures.
Partnership Firm	<ul style="list-style-type: none"> 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. Photograph, POI, POA, PAN of Partners. <ul style="list-style-type: none"> Authorised signatories list with specimen signatures.
Trust	<ul style="list-style-type: none"> 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. Photograph, POI, POA, PAN of Trustees. <ul style="list-style-type: none"> List of trustees certified by managing trustees/CA.
HUF	<ul style="list-style-type: none"> PAN of HUF. Bank pass-book/bank statement in the name of HUF. <ul style="list-style-type: none"> Deed of declaration of HUF/ List of coparceners. Photograph, POI, POA, PAN of Karta.
Unincorporated Association or a Body of Individuals	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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)	<ul style="list-style-type: none"> Copy of SEBI registration certificate. Authorized signatories list with specimen signatures.
Army/Government Bodies	<ul style="list-style-type: none"> Self-certification on letterhead. Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> 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.

Note : (1)* For corporate: 25% or more ownership & for other entities 15% and above implies "controlling ownership from UBO perspective".

(2)** For Trusts, the trustees and settlers / protectors are also to be given as UBOs

(3) Individual having controlling stake /UBO shall submit KYC-Part-I, separately, alongwith the copy of their aadhaar card/other proof of identity / address.

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/commodities during the last 3 years : ☐ Yes ☐ No if yes, mention Details.....

GUARDIAN DETAILS (where sole holder is a minor) :

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

Guardian Name											
Relationship of guardian with applicant						PAN					

CLEARING MEMBER DETAILS (To be filled by Clearing Members only) FOR DEMAT ACCOUNT

Name of the Stock Exchange		Name of Clearing Corporation/Clearing House	
Clearing Member ID		SEBI Registration No.	
Trade Name		CM BP - Id (to be filled up by DP)	

DEALINGSTHROUGH OTHERTRADING MEMBERS

If client is dealing through any other Trading Member, provide the following details (in case dealing with multiple Trading Members/AP's, provide details of all in a deperate sheet containing all the information as mentioned below:

Member's / AP's Name		Client Code	
Exchange		Exchange Regn. No.	
Concern Members Name with whom the AP is Registeres			
Registered Office Address			
City/Town/Village		PIN Code	
State		Country	
Ph.	Fax	Email	Website
Details of disputes/dues pending from/to such Member/AP:			

ADDITIONAL DETAILS

◆ Mode of receiving statement of Account/ECN & other documents <input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form (Read Note & encure that email id is provided in KYC application form.)			
Specify your Email id, if applicable		[E-mail Id mentioned in Part-1]	E-mail Alert Facility <input type="checkbox"/> Yes <input type="checkbox"/> No
◆ Whether you wish to avail of the facility of internet trading/ wireless technology		<input type="checkbox"/> Yes <input type="checkbox"/> No	Please specify
◆ I / We would like to share the email ID with the RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No	
◆ <input type="checkbox"/> No Prior Experience _____ <input type="checkbox"/> In Commodities _____ Yrs <input type="checkbox"/> In other investment related fields _____ Yrs			
◆ In case of non-individuals, name, designation, PAN, UID, signature, residential addresss and photographs of persons authorized to deal in securities on behalf of <input type="checkbox"/> Company <input type="checkbox"/> Firm <input type="checkbox"/> Others _____			
◆ Mode of receiving Standard Account Opening Documents		<input type="checkbox"/> Electronic Mode	<input type="checkbox"/> Physical Mode
◆ 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')		<input type="checkbox"/> Yes <input type="checkbox"/> No	
◆ Account Statement Requirement		<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fotnightly <input type="checkbox"/> Monthly	
◆ I / We would like to receive the Annual Report Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be Physical)			
◆ Any other information			

DETAILS OF RELATED PERSON

[illegible]

INTRODUCER DETAILS (Optional)

Name of the Introducer											
Status of the Introducer	<input type="checkbox"/> Remister <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others, Please Specify										
Address of Introducer											
	City/Town/Village							PIN Code			
	State					Country					
Phone No.						Signature of					
Client Code/Client ID (If Existing Client)						the Introducer					

MOBILE NUMBET AND E-MAIL ID DECLARATION (For Individual)

(FIRST HOLDER)			
I hereby declare that the Mobile No. mentioned on KYC Part-1 belongs to	<input type="checkbox"/> Self	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependant Children <input type="checkbox"/> Dependant Parent
Name of the relative _____	PAN <table border="1" style="display: inline-table; width: 100px; height: 20px; vertical-align: middle;"></table>		
I hereby declare that the Email ID mentioned on KYC Part-1 belongs to	<input type="checkbox"/> Self	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependant Children <input type="checkbox"/> Dependant Parent
Name of the relative _____	PAN <table border="1" style="display: inline-table; width: 100px; height: 20px; vertical-align: middle;"></table>		
(SECOND HOLDER)			
I hereby declare that the Mobile No. mentioned on KYC Part-1 belongs to	<input type="checkbox"/> Self	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependant Children <input type="checkbox"/> Dependant Parent
Name of the relative _____	PAN <table border="1" style="display: inline-table; width: 100px; height: 20px; vertical-align: middle;"></table>		
I hereby declare that the Email ID mentioned on KYC Part-1 belongs to	<input type="checkbox"/> Self	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependant Children <input type="checkbox"/> Dependant Parent
Name of the relative _____	PAN <table border="1" style="display: inline-table; width: 100px; height: 20px; vertical-align: middle;"></table>		
(THIRD HOLDER)			
I hereby declare that the Mobile No. mentioned on KYC Part-1 belongs to	<input type="checkbox"/> Self	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependant Children <input type="checkbox"/> Dependant Parent
Name of the relative _____	PAN <table border="1" style="display: inline-table; width: 100px; height: 20px; vertical-align: middle;"></table>		
I hereby declare that the Email ID mentioned on KYC Part-1 belongs to	<input type="checkbox"/> Self	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependant Children <input type="checkbox"/> Dependant Parent
Name of the relative _____	PAN <table border="1" style="display: inline-table; width: 100px; height: 20px; vertical-align: middle;"></table>		

MOBILE NUMBET AND E-MAIL ID DECLARATION (For Non Individual)

I hereby declare that the Mobile No. mentioned on KYC Part-1 belongs to _____




PAN who is the Karta/Partner/Director/Authorized Signatory/Trustee of the HUF/Firm/Company/Trust

I hereby declare that the Email ID mentioned on KYC Part-1 belongs to _____

PAN who is the Karta/Partner/Director/Authorized Signatory/Trustee of the HUF/Firm/Company/Trust

SIGNATURES OF ALL HOLDERS

DECLARATION

Signature of sole/ First Holder / Guardian/Karta / Auth. Signatory		<p>1. I/We hereby declare that the rules, Regulations and By-laws of the Depository, Depository Participants, SEBI, Stock Exchange & Stock Broker pertaining to an account which are in force now have been read by me / us and I/we have understood the same and I/We agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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/We am are aware that I/We may be held liable for it.</p> <p>2. I/We confirm having read explained and understood the contents of the document on policy and procedures of the Stock Broker and the tariff sheet. I/We further confirm having read and understood the contents of the "Rights and Obligations" document(s) (Depository & Trading) and Risk Disclosure Document (Trading). I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We also declare that I/We have complied and will continue to comply with FEMA regulations. I/We hereby acknowledge the receipt of Rights and Obligations of Stock Broker, Authorised person and Clients (Trading) and also Rights and Obligations of the Beneficial Owner and Depository Participant. I/We have also been informed that the standard set of documents has been displayed for information on stock broker's designated website.</p> <p>3. I/We hereby declare that the client Id allotted to me/us for depository account opened by you as per this application form be mapped with my/our trading account opened as per this application form as my/our primary depository account and other depository account, if any, mentioned above as my/our additional depository account.</p> <p>Date: _____</p>
Signature of SecondHolder / Auth. Signatory		
Signature of Third Holder / Auth. Signatory		

FOR OFFICE USE ONLY

UCC Code Allotted to the Client	Client ID	<p>Signature of the Authorised Signatory of Sunshine Finsec And Mercantile Ltd. with Seal & Stamp</p>
<p>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 Procedure', 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, for the information of the clients.</p> <p>Date: _____</p>		

INSTRUCTIONS / CHECK LIST

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

In respect of other clients, documents as per risk management policy of the Company need to be provided by the client from time to time

Bank Proof Copy of cancelled cheque leaf / pass book/bank statement specifying name of the constituent, MCR Code or/and IFSC Code of the bank should be submitted.

Demat Proof : Demat Master or recent holding statement issued by DP bearing name of the client.

For Non Individuals : (i) Form need to be initialised by all the authorized Signatories.

(ii) Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities/commodities on behalf of company / firm / others and their specimen signatures.

In-person Verification:

For Individuals: (i) Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker / authorised person's office.

(ii) 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 the country where the client resides may be permitted.

Notes :

- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impression and signatures 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 or a Notary Public or a Special Executive Magistrate.
- For receiving Statement of Account In electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- In case of joint account on death of any of the joint holder, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.
- In case id first holder is selected the communication will be sent as per the preference mentioned in case all joint account holders is opted, communication to first holder will be sent as per preference and communication to other holders will be in electronic mode. The default option will be communication to first holder if no option selected.
- Strike off whichever is not applicable.

SUNSHINE FINSEC & MERCANTILE LTD

	Scheme-1	Scheme-2	Scheme-3	Scheme-4	Scheme-5
	NON CORPORATE	NON CORPORATE FOR 5 YEARS	NON CORPORATE LIFE TIME	CORPORATE CLIENT	BSDA CLIENT
1. Account Opening	NIL	NIL	NIL	NIL	NIL
2. Maintenance Charges	300 p.a.	900 p.a.	1499 For Life Time	1250 p.a.	NIL
3. Dematerialisation Charges	Rs 100 per certificate plus rs 80 courier charges	Rs 100 per certificate plus rs 80 courier charges	Rs 100 per certificate plus rs 80 courier charges	Rs 100 per certificate plus rs 80 courier charges	Rs 100 per certificate plus rs 80 courier charges
4. Rematerialisation Charges	Rs 20/-per every 100 securities of part thereof,or a flat fee of Rs 20/- per certificate whichever is higher will be ipayable	Rs 20/-per every 100 securities of part thereof,or a flat fee of Rs 20/- per certificate whichever is higher will be ipayable	Rs 20/-per every 100 securities of part thereof,or a flat fee of Rs 20/- per certificate whichever is higher will be ipayable	Rs 20/-per every 100 securities of part thereof,or a flat fee of Rs 20/- per certificate whichever is higher will be ipayable	Rs 20/-per every 100 securities of part thereof,or a flat fee of Rs 20/- per certificate whichever is higher will be ipayable
5. Rejection of Demat Request	Rs 30/- Plus Courier Charges	Rs 30/- Plus Courier Charges	Rs 30/- Plus Courier Charges	Rs 30/- Plus Courier Charges	Rs 30/- Plus Courier Charges
6. Transaction Charges (per Debit Transaction)	Rs 15/- (Within DP) Rs 25/- (Outside DP) All Charges payable upfront	Rs 15/- (Within DP) Rs 25/- (Outside DP) All Charges payable upfront	Rs 15/- (Within DP) Rs 25/- (Outside DP) All Charges payable upfront	Rs 15/- (Within DP) Rs 25/- (Outside DP) All Charges payable upfront	Rs 15/- (Within DP) Rs 25/- (Outside DP) All Charges payable upfront
7. Off Market Transaction Charges (per Debit Transaction)	Rs 25/- Per Transaction	Rs 25/- Per Transaction	Rs 25/- Per Transaction	Rs 25/- Per Transaction	Rs 25/- Per Transaction
8. Pledge Charges Creation/Closure/Invocatic	Rs 25/- Per Transaction	Rs 25/- Per Transaction	Rs 25/- Per Transaction	Rs 25/- Per Transaction	Rs 25/- Per Transaction
9. Pledge Creation For Margin Funding Mutual Fund (Destat/Redemption)	Rs 25/- Per Transaction	Rs 25/- Per Transaction	Rs 25/- Per Transaction	Rs 25/- Per Transaction	Rs 25/- Per Transaction
10. Redemption	Rs 50/- Per Transaction	Rs 50/- Per Transaction	Rs 50/- Per Transaction	Rs 50/- Per Transaction	Rs 50/- Per Transaction
11. DIS Booklet*(First DIS Booklet is Free)	Rs 25/- (Ten Leaves) Plus Rs 40/- Courier Charges	Rs 25/- (Ten Leaves) Plus Rs 40/- Courier Charges	Rs 25/- (Ten Leaves) Plus Rs 40/- Courier Charges	Rs 25/- (Ten Leaves) Plus Rs 40/- Courier Charges	Rs 25/- (Ten Leaves) Plus Rs 40/- Courier Charges
12. Easi (enablement)	Rs 200/- p.a.	Rs 200/- p.a.	Rs 200/- p.a.	Rs 200/- p.a.	Rs 200/- p.a.
13. Slip Rejection / Fail Charges	Rs 20/-Per Rejection	Rs 20/-Per Rejection	Rs 20/-Per Rejection	Rs 20/-Per Rejection	Rs 20/-Per Rejection
14. Unconfirmed Pledge Charges	Rs 20/- Per Instance	Rs 20/- Per Instance	Rs 20/- Per Instance	Rs 20/- Per Instance	Rs 20/- Per Instance
15. POA Activation	Rs 20/- Per Instance	Rs 20/- Per Instance	Rs 20/- Per Instance	Rs 20/- Per Instance	Rs 20/- Per Instance
16. Easi Post Charges	Rs 50/- Per Instance	Rs 50/- Per Instance	Rs 50/- Per Instance	Rs 50/- Per Instance	Rs 50/- Per Instance
17. Modification In Client Master	Rs 40/- Per Instance	Rs 40/- Per Instance	Rs 40/- Per Instance	Rs 40/- Per Instance	Rs 40/- Per Instance
18. Reset of Password in Easi	Rs 50/- Per Instance	Rs 50/- Per Instance	Rs 50/- Per Instance	Rs 50/- Per Instance	Rs 50/- Per Instance

NOTES :-

- Additional Statement of Holding/Transaction : Rs 2/- per page + postage/ courier charges.
- Periodic Statement FREE ONLINE AND Rs 40/- charges extra if sent physically
- Non Periodic Statement & other Communications shall be charges @Rs 20/- per mail
- Interest @ 13% P.A. will be charged on outstanding payment after due date
- Charges are subject to revision at Depository Participant's sole discretion by giving 30 days notice and shall be informed by circulars sent by ordinary post/press advertisement/Electronic Communication/courier/personal messenger/website (website means www.sunshinefinsec.com or its pages and links and/or/applets participant may inform from time to time
- Any other services not specified above shall be charged extra
- I may have a trading as well as Depository relationship with Sunshine Finsec & Mercantile Ltd., I authorise to debit depository charges / bill from my trading account as and when required.
- NACH Form is mandatorily to be submitted.
- Taxes and other government levies extra as applicable from time to time
- # Applicable AMC @300/- will be charged , if the A/c is closed and/or the scheme is charged within 1 year of the date of account opening.
- AMC of Rs. 100/- will be charged in the Basic Services Demat Account (BSDA) having holding value between Rs.4 Lacs – Rs.10 Lacs.
- AMC shall be applicable as per Scheme opted by the Client in case holding valuation exceeds Rs. 10 Lacs at any point of time.
- Charges as per Scheme-1 shall be applicable in case the account becomes non-BSDA after opting Scheme-3 of schedule of charges by the client.

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 jobbing charges per share (in Rs)
NSE Capital Segment	_____ %	Rs. _____/-	_____ %	Rs _____/-


Nature of transaction	In % age terms	Minimum (per unit)	Minimum (per lot)
NSE Futures	_____ %	Rs _____/-	Rs _____/-
NSE Options	_____ %	Rs _____/-	Rs _____/-
Commodity Futures	_____ %	Rs _____/-	Rs _____/-
Commodity 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 towards minimum processing fee.

Signature of Client

A15
 (9)

IN CASE OF NRI's/Foreign National/FII's/OCB/OTHERS (As may be applicable)

RBI Approval Reference No.		RBI Approval Date	D	D	M	M	Y	Y	Y	Y
SEBI Registration No. (For FII's)										
Please attach copy of permission for dealing in securities/commodities from authorised dealer (bank) - RBI Approval										
With reference to my/our Demat & Trading account maintain with SFML. I/We hereby confirm that I/We have complied with, and shall continue to comply with Foreign Exchange Management Act (FEMA), 1999 and Rules & Regulations issued thereunder and other applicable laws.						 (10)		Signature of Client		




Mode of Operation for Joint Account

<input type="checkbox"/> Jointly	<input type="checkbox"/> Anyone of the holder or survivor (s)
----------------------------------	---

If mode of Operation for joint account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter Depository Transfer, pledge /hypothecation/margin pledge/margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze / unfreeze of account and /or securities and/ or specific number of securities will be permitted.

Note: Other than above transactions/ conditions, all the other request should be duly signed by all the holders.

AS per SEBI Circular No. MIRSD-PODI/P/CIR/2024/91 Dated 28 June 2024 all clients who are willing to hold only one demat account as first holder and DP holding valuation will be maintained below Rs.10Lac. Is eligible to opt for BSDA (Basic Service Demat Account) subject to term and conditions mentioned by SEBI." To opt BSDA scheme please sign aseparate scheme sheet which can be obtained from our office.

 (11) Signature of Sole / First Holder	 Signature of Second Holder	 Signature of Third Holder
--	---	--

Mode of Communication to be sent in case of joint account

For joint accounts, communication to be sent to	<input type="checkbox"/> First Holder	<input type="checkbox"/> All joint account holders
---	---------------------------------------	--

Account Holder Details for UCC Mapping / Link :

Name of Sole/ First Holder			
PAN		UID	
I/We Authorized Sunshine Finsec & Mercantile Ltd. to Link My/Our UCC Code in My/ Our Demat Account open with this form number with following details.			
<i>Exchanges</i>			
NSE	TM ID - 09472		
CDSL	12099300		
Name of Second Holder			
PAN		UID	
Name of Third Holder			
PAN		UID	

MOST IMPORTANT TERMS AND CONDITIONS (MTC)

(For non-custodial settled trading accounts)

Annexure-A

1. Your trading account has a 'Unique Client Code' (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet / mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporations (s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account or pay in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/Stock exchanges for participation in such schemes.

Signature of Client

(12)

Name :

Client Code :

Date :

**FATCA & CRS DECLARATION (FOR INDIVIDUAL)**

Particulars	Sole/First Holder/ Guardian		Second Holder		Third Holder	
A. Country of Birth is any country other then India	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
B. Citizen of any country other then India	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
C. Tax resident of any country/ies other then India	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
D. Are you a US Specified Person	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If any of the above answer is "Yes", Please fill the below mentioned details also						
Particulars	Sole/First Holder/ Guardian		Second Holder		Third Holder	
Place & Country of Birth						
Country of Citizenship/ Nationality						
Sr. No.	Country of Tax Residency (Other Then India)	Taxpayer Identification No.	Country of Tax Residency (Other Then India)	Taxpayer Identification No.	Country of Tax Residency (Other Then India)	Taxpayer Identification No.
1.						
2.						
3.						
Address						

*Please indicate all countries in which you are a resident for tax purpose and associated Taxpayer identification number.

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.

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

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).

(13)

Sole/First Holder Signature



Second Holder Signature



Third Holder Signature

*For Detail Terms & Conditions please visit www.sunshinefinsec.com

FATCA & CRS DECLARATION (FOR NON-INDIVIDUAL)

Please tick the applicable tax resident declaration -

- I, 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 <input type="checkbox"/> (Refer 1 of Part C) or Direct reporting NFE <input type="checkbox"/> (Refer 3(vii) of Part C) (please tick as appropriate)	GIIN <input type="text"/> 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 <input type="text"/>
GIIN not available (please tick as applicable) <input type="checkbox"/>	<input type="checkbox"/> Applied for <input type="checkbox"/> Not obtained - Non-participating FI <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input type="text"/> (Refer 1 A of Part C)

PART B (please fill any one as appropriate "to be filled 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 <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange <input type="text"/>
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 <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company <input type="text"/> Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange <input type="text"/>
3. Is the Entity an active NFE (Refer 2c of Part C)	Yes <input type="checkbox"/> Nature of Business <input type="text"/> Please specify the sub-category of Active NFE <input type="text"/> (Mention code - refer 2c of Part C)
4. Is the Entity a passive NFE (Refer 3(ii) of Part C)	Yes <input type="checkbox"/> Nature of Business <input type="text"/>

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 #			
Address	Zip <input type="text"/> State: <input type="text"/> Country: <input type="text"/>	Zip <input type="text"/> State: <input type="text"/> Country: <input type="text"/>	Zip <input type="text"/> State: <input type="text"/> Country: <input type="text"/>

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 *			
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 (%) ‡			

* 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. 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

14) 

Sole/First Authorised Signatory



Second Authorised Signatory



Third Authorised Signatory

Place _____

Date ____/____/____

NOMINATION FORM (Please fill either Annexure- A or Annexure-B, given below)

[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]

NOMINATION DETAIL

Nomination Registration No. : 		Date : D D M M Y Y Y Y	
UCC (Trading Code) 		DP ID 	Client ID
I/We wish to make a nomination. [As per details given below]			
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
1 Name of the nominee(s) (Mr./Ms.)			
2 Share of each Nominee	Equally <input type="checkbox"/> [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)			
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] <input type="checkbox"/> Photograph & Signature		Photograph of 1st nominee	Photograph of 2nd nominee
		Photograph of 3rd nominee	
Signature		Signature of Nominee across photograph	Signature of Nominee across photograph
<input type="checkbox"/> PAN			
<input type="checkbox"/> Aadhaar			
<input type="checkbox"/> Saving Bank Account No.			
<input type="checkbox"/> Proof of Identity			
<input type="checkbox"/> 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)}	D D M M Y Y Y Y D D M M Y Y Y Y D D M M Y Y Y Y		
9 Name of Guardian (Mr./Mrs.) {in case of minor nominee(s)}			
10 Address of Guardian(s)			
	PIN Code		
11 Mobile/Telephone No. of Guardian			
12 Email ID of Guardian			
13 Relationship of Guardian with Nominee			

A21

115)








Signature of Sole / First Holder



Signature of Second Holder







Signature of Third Holder

14	Guardian Identification details : [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature	Photograph of 1st Guardian 	Photograph of 2nd Guardian 	Photograph of 3rd Guardian 
	Signature			
	<input type="checkbox"/> PAN			
	<input type="checkbox"/> Aadhaar			
	<input type="checkbox"/> Saving Bank Account No.			
	<input type="checkbox"/> Proof of Identity			
<input type="checkbox"/> Demat Account ID				
Signature of All Holder's				
 Signature of Sole / First Holder		 Signature of Second Holder		 Signature of Third Holder
Signature of Witness for Nomination*				
Name of the Witness		Address		 Signature of Witness

*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

[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/60I dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

DECLARATION FORM FOR OPTING OUT OF NOMINATION			Date	D	D	M	M	Y	Y	Y	Y
UCC (Trading Code)			DP ID					Client ID			
Sole/First Holder Name											
Second Holder Name											
Third Holer 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.											
Signature of All Holder's											
 Signature of Sole / First Holder		 Signature of Second Holder				 Signature of Third Holder					
Signature of Witness for Nomination*											
Name of the Witness		Address				 Signature of Witness					

*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

ONE TIME DECLARATION FOR INTER DEPOSITORY TRANSFER OF GOVERNMENT SECURITIES

I / we, undersigned, having demat account with you as per the details mentioned below, hereby declare that I / we will submit only those inter depository transfer instructions in respect of Government Securities (G-Sec) which are bonafide and arising out of genuine trade or transfer transaction.

 18)

Signature of Sole / First Holder



Signature of Second Holder



Signature of Third Holder

INSTRUCTIONS RELATED TO NOMINATION, ARE AS BELOW:

- I. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly and singly by the sole/first holder in case of trading account. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
- II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
- III. The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
- IV. Nomination in respect of the beneficiary owner account/trading account stands rescinded upon closure of the beneficiary owner account/trading account. Similarly, the nomination in respect of the funds/securities/commodities shall stand terminated upon transfer of the funds/securities/commodities.
- V. Transfer of funds/securities/commodities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant/exchange(s) against the legal heir.
- VI. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts/trading account on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
- VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository/exchange(s) shall not be under any obligation to transfer the funds/securities/commodities in favour of the Nominee(s).
- VIII. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
- IX. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM IO at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
- X. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
- XI. Savings bank account details shall only be considered if the account is maintained with the same participant.
- XII. DP ID and client ID shall be provided where demat details is required to be provided.

ANNEXURE - A

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" 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. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. "DP" means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. "BO" means an entity that has opened a demat account with the depository. The term covers all types of 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 accountholders who have provided their mobile numbers to the depository through their DP. The services 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 the roaming 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 from 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 indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the 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 service 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 acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the 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 error 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 on account of opting to avail SMS alerts facility.

5. The BO authorizes 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 knowledge on receiving SMS alerts. 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.

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 charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warrant 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 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 facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository 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 any 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, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of 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 avail the SMS Alerts facility provided by the depository on my/our mobile number 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 pertaining to account/transactions in my/our account as is necessary for the purposes of generating 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 thereto made by the depository from time to time.

I/ we further undertake to pay fee/ charges 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 and/ are aware that mere 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 **Registration / modification** (Please cancel out what is not applicable).

BOID

1	2	0	9	9	3	0	0										
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name : _____ Second Holder's Name _____ Third Holder's Name _____

Mobile Number on which message are to be sent

+91																	
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

The mobile number is registered in the name of : _____

Email ID : _____

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

Signatures

19)

Sole/First Holder Signature

Second Holder Signature

Third Holder Signature

Place : _____

Date : ____/____/20____

ANNEXURE - B

Terms And Conditions for availing Transaction Using Secured Texting (TRUST) service offered by CDSL

1. **Definitions:**
In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:
 - i. "Depository" means Central Depository Services (India) Limited (CDSL).
 - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository.
3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. **Indemnity:**
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. **Disclaimer:**
Depository shall be absolved of any liability in case :-
 - a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
 - b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
 - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

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 portfolio online.

Dear Sir/Madam,

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below subject to the terms and conditions as specified by CDSL.

- a. SMART - SMS alert facility
- b. TRUST - Transaction using Secured Texting facility.

(please note that SMS alert facility is mandatory if TRUST facility is opted for)

BOID

1	2	0	9	9	3	0	0										
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name : _____ Second Holder's Name _____ Third Holder's Name _____

Mobile Number on which message are to be sent

+91																	
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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

(Existing users registered for SMS alerts : Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)

The mobile number is registered in the name of : _____

Email ID : _____

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

I/We consent to CDSL providing to the service provider such information pertaining to account / transactions in my/our account as is necessary for the purpose of availing the said facility.

I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies and agree to abide by them and any amendments thereto made by the depository from time to time. I/We further undertake to pay fee / charges as may be levied by the depository from time to time.

Signatures
 Sole/First Holder Signature Second Holder Signature Third Holder Signature

Place : _____ Date : ____/____/20____

To avail the facility of fax kindly affix additional ₹100/- Stamp Paper duly signed by all the account holder.

Undertaking cum indemnity-in respect of facsimile instruction for operation of Depository Account

TO,

SUNSHINE FINSEC & MERCANTILE LTD.

Shop No.27, Plot No.22, DDA Market, Gita Mandir Marg, New Rajinder Nagar, New Delhi - 110 060

I/We 1. residing at execute this UNDERTAKING CUM INDEMNITY in favour of **Sunshine Finsec & Mercantile Ltd.** (a company incorporated and registered under the Companies Act, 1956) and having its Regd. Office : Shop No.27, Plot No.22, DDA Market, Gita Mandir Marg, New Rajinder Nagar, New Delhi - 110 060 hereinafter called "the DP" (which expression shall unless it be repugnant to the context or meaning thereof mean and include its successors in title) as follows :
WHEREAS I/We maintain a Beneficial Owner Account (s) ("the said Account") mentioned above, with the DP at its main/branch office, located at As per the instructions for operation of the said Accounts, the same is allowed to be operated by us or the persons authorised, in that behalf (hereinafter referred to as "Authorised Person/s").
AND WHEREAS in the day to day business, I am/we are required to give urgent instructions to the DP for operation of the said account :
WHEREAS the DP has agreed to accept, the original instruction slip, a fax submission thereof signed by the authorised persons to operate the said account under their signatures, subject to the indemnity herein offered by me/us to the DP on the terms and conditions herein mentioned.

1. I/We shall transmit the Fax instructions only to the fax number informed/provided to us by the DP.
 2. The Fax submission shall be signed by the Authorised Person/s mentioned in the List of Authorised Signatories submitted by me/us in the account opening form on behalf of me/us and their signatures shall be in the same manner and way as has been informed to the DP by me/us and the DP is hereby requested and authorised, (but is not obliged to) rely upon and act, in accordance with such Fax Submission which is signed or bonafide believed by the DP to have been signed, by the Authorised Person/s.
 3. The DP is requested by me/us and shall be entitled to treat any fax Submissions as fully and duly authorised by and binding upon me/us and further be entitled (but not bound) to take any steps relying upon the same, believing the Fax Submission, in good faith as appropriate, regardless, of the amount of money involved and notwithstanding any error in transmission or reception of such Fax Submission or any misunderstanding or ambiguity or lack of clarity in the terms of such fax Submission.
 4. I/We shall upon making any Telefax Submission hereunder, deliver to the DP without any delay within three working days, the original hard copy of the Fax Submission (the Hardcopy) signed by the Authorised Person/s as aforesaid. Each Hardcopy shall bear the following words on the top of the instruction slip - "This is a Hardcopy Each of Fax Submission to you, transmitted on day of month, year.
 5. The DP may, but shall not be obliged to, await receipt of the Hard copy prior to taking any action in connection with the Fax Submission and shall not be obliged to follow-up with me/us for the originals. Further the storage of a photocopy of the Fax transmission sent by me/us shall be conclusive evidence of instruction to the DP for having acted on such instructions and I/We hereby agree and acknowledge the same".
- NOW IN CONSIDERATION OF THE ABOVE, I/We hereby irrevocably agree, confirm and undertake to the DP as follows :**
6. I/We hereby agree that in case the DP does not receive the hard copy of the instruction within 3 working days, the DP may discontinue the said facility. In such cases the DP will do so with immediate effect after informing me orally / in writing / by fax. I/We undertake that I/We shall not hold the DP liable for any loss to me/us in case the DP does not act on fax instruction received by the DP in such a case.
 7. The DP shall not be required to confirm (whether orally, in writing or otherwise) any fax submission or (verify the identity of the Authorised person/s or his/her/their signature/s making or giving the fax submission or purporting to do so.
 8. The DP shall be under no duty to set and/or adopt any procedure for the purpose of such confirmation or verification and if at all there is any, the DP shall not be obliged to strictly adopt or comply with the same in any or every instance.
 9. The DP shall not be liable for any losses or damages which I/We may suffer as a consequence of the DP acting in accordance with or in reliance upon, any Fax Submission or otherwise pursuant to the authority conferred herein, upon the DP.
 10. I/We shall indemnify the DP and CDSL and keep them indemnified and save harmless, at all times against any and all claims, losses, damages, costs liabilities and expenses incurred, suffered or paid or incurred by the DP or required to be incurred, suffered or paid by the DP and also against all demands, actions, suit proceedings made, filed / instituted against the DP, in connection with or arising out of or in relation to or as a consequence of :
 - i. The DP acting pursuant to, in accordance with or relying upon, any Fax submission or otherwise pursuant to the request and authority conferred herein and/or;
 - ii. The DP acting pursuant to in accordance with or relying upon any Fax Submission received by the DP which it believes in good faith to be such a fax Submission; and/or;
 - iii. Any unauthorised or fraudulent Fax Submission to the DP. PROVIDED that this indemnity shall not be available to the DP, if the liabilities for which the DP seeks indemnification hereunder, arises directly and completely from its own negligence or wilful default.
 - iv. The DP not having acted on the Fax submission due to non-receipt of the transmission or receipt of incomplete or partly / fully unreadable transmission.
 - v. The DP not having acted on any Fax submission sent by me/us on a number other than the number mentioned by the DP for the purpose of fax transmission.
 11. The DP shall not be under any obligation at any time to maintain any facility for the receipt of any Fax Submission or to ensure the continued operations or availability of any such facsimile facilities or equipment, and I/we shall not hold the DP liable for any loss consequent to non-availability of the said facility.
 12. I/We acknowledge and confirm that I am/we are aware that by the very nature of telecommunications services, the Fax transmissions may not be received properly and may be clearly legible. I/We agree to assume and bear all the risks involved in respect of such errors and misunderstanding and the DP shall not be responsible in any manner for the same or breach of confidentiality thereto and shall also not be liable for any claims, loss, damage, cost or expense and liability arising therefrom :
 13. This indemnity is without prejudice to the DP's other rights, privileges, powers, and remedies in law and the DP may delay enforcing its rights without at any time losing them and any waiver of a right by the DP hereunder or available to it by law, shall not be deemed to be a waiver of any other rights or of the same right at another time.
 14. The DP may stop/terminate this facility given to me/us by giving seven day prior written notice to me/us. However, any such termination shall not affect anything done or any rights or liabilities accrued prior to the termination and all the above indemnities given by me/us to the DP hereunder shall survive any such termination. However in case of termination as mentioned in point 6 above, no such notice need to be given by the DP.
 15. The Provisions relating to arbitration contained in the Rights & Obligation Documents by us in favour of the DP shall be applicable to any dispute or difference that may arise in respect of such fax transmission including all disputes with regard to the receipt of the fax Transmission by the DP. I/We specifically agree and confirm that regardless of the place from which the fax transmission in question may have been transmitted to the DP any matter or issue arising hereunder shall be governed by and construed exclusively in accordance with the Indian laws and shall be subject to the exclusive jurisdiction of the Courts of Mumbai (India) alone.

Dated at this day of

Given by

Signatures 21) 
Sole/First Holder Signature


Second Holder Signature


Third Holder Signature

Name

Witness :

Signature :

Name :

Address :

To

Sunshine Finsec & Mercantile Ltd

Flat No 27 , Plot No 22 , Local Shopping Complex
New Rajinder Nagar ,
New Delhi 110060

SUBJECT : DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI) AUTHORISATION

UCC :

I/We have been / shall be dealing through you as my/our Broker on Stock exchange NSE and as my/our Depository Participant (DP) with respect to my/our Trading Account opened/to be opened under captioned Unique Client Code (UCC) and Demat/ beneficial owner (BO) Account opened/to be opened & mapped with my/our said Trading Account, I / we authorize you to follow these instructions across exchanges & across segments in which I / we have already opened accounts with you or I/We may open account in future. As my/our Broker i.e. agent &/or DP, I/ we direct and authorize you to carry out dealings on my/our behalf as per instructions given below.

For my/our convenience & in order to facilitate the proper execution of all transactions by me/us in pursuant to agreement(s) entered/to be entered with SUNSHINE FINSEC AND MERCANTILE LTD , I/We hereby agree & authorize SFML to operate my/our Demat / (BO) account(s) opened/ to be opened and mapped with my/our aforesaid Trading Account to transfer / pledge / re-pledge / de-pledge securities from my/our BO account(s) only to SFML BO account(s) and/or Exchange(s) related Pool & Margin Account of SFML

Please further note that while I/We am/are entitled to revoke this DDPI authorisation at any time, by sending signed physical letter of revocation, through Regd/Speed post at your above mentioned address. I/We agree that till the time my/our revocation request will be processed and updated in your records, SFML will continue to be authorized to transfer/pledge/re-pledge/de-pledge securities under this DDPI authorization against my/our obligations, if any, in my/our captioned trading/demat account.

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 and further agree that you shall not be liable for any claim whatsoever, or for any consequential, incidental, special or exemplary damages, caused by transfer/pledge/re-pledge/depledge of securities under this DDPI authorization.

Date:

BO ID (16 digits) -

BO Name/s -

Demat Debit and Pledge Instruction

S.No.	Purpose	Signature of Client /s *
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	22)
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	23)
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	24)
4.	Tendering shares in open offers through Stock Exchange platforms	25)

* the same may be e-Signed or signed physically

DP Name : Sunshine Finsec & Mercantile Ltd

DP Signature & Seal & Stamp :

Date :

To,

(Name of Depository Participant)

Dear Sir / Madam,

Sub: ☐ **Subscription to CDSL's internet-based service "*easi*" (electronic access to securities information)**
 ☐ **Demat account no:** _____

I am / We are registered for CDSL's internet based services "*easi*". As "*easi*" provides a facility to view, print / download account statement and transaction details, I / we opt not to receive the transaction statement, henceforth, in physical form.

I am / We are aware that you shall send us a 'physical statement' of account atleast once a quarter.

However, if an account statement / transaction statement is required by me / us in physical form at such additional intervals as specified by me, I / we agree to make payment of the necessary fees / charges, if any, as may be specified by you from time to time.

Thanking you,

27)

First Holder

Second Holder

Third Holder

STANDING INSTRUCTIONS/AUTHORISATION LETTER

To

Sunshine Finsec & Mercantile Ltd.Flat No.-27, Plot -22, Local Shopping Complex,
New Rajinder Nagar, New Delhi-110060**SUBJECT : STANDING INSTRUCTIONS/AUTHORISATION LETTER**

UCC: _____

I/We have been /shall be dealing through you as my/our Broker on the Equity / Commodity Exchange(s) such as NSE/BSE/MCX/NCDEX/MSEI. As my/our Broker, I/we direct and authorize you to carry out trading / dealing on my/our behalf as per instructions given below. Please treat these instructions as written ratification of my/our verbal directions/authorizations given and carried out by you earlier.

1. I/We understand that you require written instructions for placement/modifying/canceling orders. However, since it is not practical to give written instructions for order. I/We, in terms of the Rights & Obligations of Stock Brokers, Authorized Persons & Clients as Prescribed by SEBI, here by authorize you to kindly accept my/our and or my/our authorized person's verbal instructions / orders in person or over phone and execute the same. I/We undersatand the risk associated with verbal orders and accept the same. I/We agree that I/we shall not be entitled to disown the traders so executed through verbal orders/instructions or ask for proof of placement of ordrrs. However, I/We shall have right to contest discrepancy, if any, within 24hrs of your confirming the traders so executed in my/our said UCC through SMS or ECN, in terms of various clauses, specifically clause 16.6, of the Contract between Member Broker and Client and Other documents executed. I/We also understand that the above authorization can be revoked by me/us at any time by giving notice through physical letter by registered A.D. at your above mentioned address.
2. I/We specifically agree that no interest, for any reason,shall be payable to me/us on any amount or credit balance lying with MEMBER BROKER.


I/We agree to indemnity you and keep indemnified against all losses, damages and actions which you may suffer or arise as a consequence of your adhering to and carrying out/my /our directions given above.

I/We have signed/submitted this document at my/our own volition.

Thanking You

Yours Faithfully

Signature of Client

 (27)

Name:.....

Date:.....

RUNNING ACCOUNT AUTHORISATION

To

Sunshine Finsec & Mercantile Ltd.Flat No.-27, Plot -22, Local Shopping Complex,
New Rajinder Nagar, New Delhi-110060**SUBJECT: RUNNING ACCOUNT AUTHORISATION**

UCC: _____

I/We have been/ shall be dealing through you as my / our Broker on various equity/commodity exchange(s) such as NSE/BSE/MCX/CDEX/MSEI and I / we further authorize you to follow these instructions across exchanges & accross segments in which I / we have already opened accounts with you or I/We may open account in future. 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 make payments of funds to each other for settlements of dealings as per the schedule in force at the relevant time pursuant to directives / regualtions / circulars, issued by exchange/ regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds. Further, I/We also desire to use my/our fundds margin without which I/We can not 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 funds from running accounts and make pay-in of funds to exchange/clearing corporations/other receiving party(ies) to settle my/our trades dealings. Similarly, where I/we have to receive funds in settlement of trades/ dealings please keep the funds with you and make credit entries for the same in running accounts of funds maintained by you for the purpose of any obligations due to me/us. In view of the same it would be proper for you to release the funds due to me/us on my/our specific, either written or verbal instructions. Further, the funds can be transferred from one segment to other and from one exchange to another as per the requirements. Further, subject to your discretion please treat my/our funds lying to my/our credit in running accounts as margin for my/our dealings/trading. You are authorize to do these acts across all exchange & segments in which I / we have been / shall be dealing with you. Further I/We understand and agree that any credit amount with you will not attract any interest.

In the event I/we have outstanding obligations on the Settlement date, you may retain the requisite 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. You may also retain such other funds as may be specified by the exchanges from time to time. While settling the account please send a statement of accounts' containing an extract from ledger for funds displaying all receipts/payments of funds. Please explain in the statement(s) being sent the retention of funds and the details of the pledged securities. If any. I/we agree that I/we shall bring any discrepancy(ies)/dis[ute in the arising from the statement of ret retention of funds or statement of funds or settlement so made to your notice, preferably, within 30 working days from the date of receipt of funds or statement of retention of funds, as the case may be, in writing, through Registered A.D./Speed post at your corporate office or through email at helpdesk@mastertrust.co.in from my/our registered email id. Further do not carry out settlement of running account referred to above for funds given by me/us towards margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

Notwithstanding anything contained anywhere in the above authorization signed by me/us, this Running Account Authorisation shall not be applicable in case of any purchases of securities in cash segment or in F80 segment (under physical settlement) and pledged to client Unpiad Securities Pledgee Account (CUSPA). The securities pledged in the (CUSPA) shall be settled as per the rules, regulations & guidelines of the exchanges/SEBI. I/We further that the funds shall be returned to me/us if I/we have not done any transaction in the 30 calendar days since the last transactions, within three working days irrespective of the datye when the running account was oreviously settled or within the period as may be specified by SEBI/Exchanges from time to time

Please further note that while I/We am/are entitled to revoke this authorisation at any time, by sending signed physical letter of revocation, through post / courier at your above mentioned address.

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 and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities/funds under this agreement.

My/Our preference for actual settlement of funds is at least:

☐ Once in a Calender Quarter

☐ Once in a Calender Month

Thanking You.

Yours faithfully

Signature of client

 28)

Name:..... Date

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

AUTHORISATION FOR ELECTRONIC CONTRACT NOTES (ECN)/OTHER DOCUMENTS

To

Sunshine Finsec & Mercantile Ltd.Flat No.-27, Plot -22, Local Shopping Complex,
New Rajinder Nagar, New Delhi-110060**SUBJECT: AUTHORISATION FOR ELECTRONIC CONTRACT NOTES (ECN)/OTHER DOCUMENTS**

UCC: _____

I/We have been/ shall be dealing through you as my / our Broker on various equity/commodity exchange(s) such as NSE/BSE/MCX/CDEX/MSEI. This instruction is applicable for all the exchanges/ segments in which I/ we have opened account with you &/or I/We may open account in future with you. As my/our Broker i.e. agent. I/We direct and authorize you to carry out trading / dealing 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 & other documents in electronic form, I/We understand that for the above purpose you are required to take from the client "an appropriate email account" for you to send the electronic contract notes &/or other documents, Accordingly, please take the following email account(s) / email Id on your record for sending the contract notes me/us.

1.
2.

I/we have access to a computer and am/are a regular internet user, having sufficient knowledge of handling the email operations, I/we am/are aware that this declaration form should be in English or in any other language known to me/us.

I/ We agree not to hold you responsible for late / non-receipt of contract notes/other documents/communication sent in electronic form for any reason including but not limited to failure of email server, 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 & other communication/document to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be dispatched 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 also agree that in case, you want to send contract notes/other documents/communication in physical form in any of the above segments / exchanges due to any reason, whatsoever, including bouncing of email, I/we hereby permit you to send the same in physical mode and the charges, if applicable, shall be debited to my/our account.

I/We understand that I/We am/are required to intimate any change in the email id/ email account mentioned herein above which needs to be communicated by me/us through a duly signed request letter in original to you by registered A.D./Speed post at your above mentioned address, provided however that If I/We am/are an internet client then in that event the request or 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 any arise as a consequence of your adhering to and carrying out my / our directions given above.

I/We agree that till the time the change in email address (s) is not updated in your records, the ECN and other documents sent to existing email address (s) with you shall be deemed to be a valid delivery and I/We shall not hold you responsible for any direct or indirect consequences faced by me/us on this account.

The above authorization and the guidelines on ECN given in the note below have been read and understood by me/us. I/We am/are aware of the risk involved in dispensing with the physical contract note and do hereby take full responsibility for the same.

I/We have signed/submitted this document on my / our own volition.

Signature of client

 (29)

Thanking You.

Yours faithfully

Name: Date

Note:

1. To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.
2. You can revoke ECN facility and opt for the Contract Note in the physical form only by giving 7 working days notice to the member broker through Registered A.D./Speed post at the above mentioned address and copy of the same would be retained by you.
3. In case, due to any reason, whatsoever, including bouncing of email, if contract note is sent in physical form, charges, if applicable, shall be debited.

Undertaking for Issuance of DIS Booklet

Option for issuance of DIS booklet along with account opening (to be filled by persons seeking to open a depository account who have given DDPI/Power of Attorney to operate the depository account to a stock broker/Participant/Portfolio Manager and do not intend to open a Basic Services Demat Account)

To Sunshine Finsec & Mercantile Ltd. Flat No.-27, Plot -22, Local Shopping Complex, New Rajinder Nagar New Delhi-110060	CDSL DP ID	1	2	0	9	9	3	0	0
	CLIENT ID								

Name(s) of account holder (s)	Sole/First Holder
	Second Holder
	Third Holder




Option for Issue of DIS booklet (please tick any one)

Option 1 ☐

I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening

Option 2 ☐

I/We do not wish to receive the DIS booklet with account opening. However the DIS booklet should be issued to me/us immediately on my/our request at any later date

Beneficial Owner	Name	Signature with Date
Sole/ First Holder		 (30)
Second Holder		
Third Holder		

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY MEMBERS 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. Member is eligible for providing Internet based trading (IBT) and commodities 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 Member shall comply with all requirements applicable to internet based trading/- commodities 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 commodities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for commodities trading through use of wireless technology. The Member shall provide the Member's IBT Service to the Client, and the Client shall avail of the Member's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Member's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The Member shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with commodities trading through wireless technology/internet or any other technology should be brought to the notice of the client by the Member.
4. The Member shall make the client aware that the Member'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 person whosoever through the Member'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/ commodities 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 Member
6. The Client shall immediately notify the Member in writing if he forgets his password, discovers security flaw in Member'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/ commodities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The Member 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 Member shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Member and the Exchange do not make any representation or warranty that the Member'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 Member on account of any suspension, interruption, non-availability or malfunctioning of the Member'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/Members/Exchange end for any reason beyond the control of the Member/Exchanges.