

*Sushil Financial Services Pvt. Ltd.*

Because you re  
**unique**

Help us understand you better.





## IN PERSON VERIFICATION / UCC (FOR OFFICE USE)

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

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

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




Date :

\_\_\_\_\_  
Seal / Stamp of the stock broker

### ABBREVIATIONS IN KYC FOR MANDATORY & VOLUNTARY INFORMATION

- # Mandatory for Equity / Future & Option / Currency Derivatives / DP.
- \* Mandatory for Equity / Future & Option / Currency Derivatives Trading Account at BSEL / NSEIL / MSEI.
- \*\* Applicable for Demat Account to be opened with Sushil Financial Services Private Limited.
- Δ Voluntary / Optional.

### IMPORTANT NOTE

Signature of First Holder	 F 1 - F 24
Signature of Second Holder	 S 1 - S 5
Signature of Third Holder	 T 1 - T 5

Full signature required where XX marked

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# INDEX

## Mandatory

Particulars	Significance	Page No.
Know Your Client KYC Form and Tariff Sheet	<p>Profile of Client with Photograph along with details of Banking &amp; DP, Annual Income, Experience and Preferred Segment of Dealing by Client as well as Introducers' details and Document detailing the rate/amount of brokerage and other charge(s)</p> <p>Fatca Declaration and authority for authenticate of Aadhar No. by Beneficiary owner</p>	1-22

## Voluntary

Particulars	Significance	Page No.
<p>Authority for Running Account</p> <p>Authorization for receipt of contract notes, bills statement of funds and Securities etc in digitally signed Electronic Form</p> <p>Format for registration for availing SMS Facility</p> <p>Undertaking Cum authority Letter</p> <p>Authority letter for adjustment for funds and securities in different Segment &amp; Exchanges</p> <p>Proprietary Trading Disclosure</p> <p>Client Defaulter Declaration</p> <p>Authority for Mobile Trading Facility</p>	<p>Authority letter for maintaining running account with Broker for both funds and securities by clients.</p> <p>Authorization for receipt of contract notes, bills, Statements of Funds and Securities etc. in digitally signed Electronic Form.</p> <p>Registration form for availing SMS facility pertaining to trading account.</p> <p>General authority to broker to facilitate ease of operation while trading</p> <p>Authority to broker for adjustment for funds and securities in different Segment and Exchanges.</p> <p>Proprietary Trading Disclosure</p> <p>Undertaking by client that he has not been declared as defaulter by SEBI / Various Exchanges / Regulatory bodies / CIBIL etc.</p> <p>Securities Trading Using Wireless Technology</p>	23-26
<p>Format for registration for Mutual Fund Service System (MFSS) Facility</p> <p>DP Tariff (Mandatory for DP)</p>	<p>Registration form for availing Mutual Fund facility.</p> <p>DP Tariff Structure</p>	27
Acknowledge From Client	Acknowledgement from Client for receiving copy of mandatory documents prescribed by SEBI and voluntary documents	28

**Mandatory Documents in Seperate Booklet as prescribed by SEBI**

<b>Particulars</b>	<b>Significance</b>	<b>Page No.</b>
Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of interest/wireless technology based trading).	1-8
Combined Risk Disclosure Document for (Capital market & Futures & Options segment and Currency Derivatives Segments)	Risk Disclosure Documents (RDD) contains about brief of risk involved i.e. basic and other related risks in Capital Market.	9-14
Guidance Note	Document detailing do's and don'ts for trading on exchange for the education of the investors.	15-17
Policies and Procedures	Document describing significant policies and procedures of the stock broker.	18-21
Rights and Obligations for opening Demat Account	Rights and Obligations of Beneficial Owner and Depository Participant	22-25
Proprietary Trading Disclosure	Disclosure of proprietary trading to clients by Broker	26
Bank verification	Format of letter to be obtained from bank for verification of signature, address, identity and bank details.	27

I / We have fully understood the distinction and details regarding the Mandatory / Voluntary and do hereby enter and sign the same and agree not to call into question the validity, enforce the ability and applicability of any voluntary agreement(s) / documents(s) or clauses within any voluntary / optional agreement(s) / document(s) under any circumstances whatsoever.

F1   
XX

Client Signature

## CLIENT PROFILE

Equity :  Speculative  Hedging  Investment

\*,\*\* Investment Experience :  No Prior Experience  Years in Stocks  Years in Derivatives

Years in Commodities  Years in any other investment related field.

**TRADING PREFERENCES**

I here by authorize you to register me/us in below mentioned segment, duly signed by me (Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client)

**FOR SARAL ACCOUNT**

<p><b>BSEL</b></p> <p>*Capital Market <b>XX F2</b> <input style="width: 100px; height: 20px;" type="text"/></p> <p>(CM)</p> <p>**DP Account <b>XX F4</b> <input style="width: 100px; height: 20px;" type="text"/></p>	<p><b>NSEIL</b></p> <p>Capital Market <b>XX F3</b> <input style="width: 100px; height: 20px;" type="text"/></p> <p>(CM)</p> <p><b>MSEI-SX</b></p> <p>Capital Market (CM) <b>XX F5</b> <input style="width: 100px; height: 20px;" type="text"/></p>
<p><b>BSEL</b></p> <p>*Derivative Market <b>XX F6</b> <input style="width: 100px; height: 20px;" type="text"/></p> <p>(F&amp;O)</p> <p>*Currency Derivatives <b>XX F8</b> <input style="width: 100px; height: 20px;" type="text"/></p> <p>*Mutual Fund <b>XX F10</b> <input style="width: 100px; height: 20px;" type="text"/></p> <p>BSEL SLB <b>XX F12</b> <input style="width: 100px; height: 20px;" type="text"/></p>	<p><b>NSEL</b></p> <p>*Derivative Market <b>XX F7</b> <input style="width: 100px; height: 20px;" type="text"/></p> <p>(F&amp;O)</p> <p>*Currency Derivatives <b>XX F9</b> <input style="width: 100px; height: 20px;" type="text"/></p> <p>*Mutual Fund <b>XX F11</b> <input style="width: 100px; height: 20px;" type="text"/></p> <p>NSEL SLB <b>XX F13</b> <input style="width: 100px; height: 20px;" type="text"/></p>
<p><b>MSEI-SX</b></p> <p>MSEI-SX Currency Derivatives <b>XX F14</b> <input style="width: 100px; height: 20px;" type="text"/></p>	<p><b>MSEI-SX</b></p> <p>MSEI-SX Derivative Market (F&amp;O) <b>XX F15</b> <input style="width: 100px; height: 20px;" type="text"/></p>

In future the clients wants to trade in any new segment/new exchange, separate authorisation/letter should be provided.

**Δ Savashare Clients**

Type of Product :  WEB  (EXE application having one time license fee.)

Whether you wish to avail of the facility of internet trading / wireless technology if  Yes  No

Preference for receiving Account Opening Kit  Physical  Electronics

**Dealing through Sub Broker/Remiser/Authorised Person/Branch**

Branch Code

Name

Regd. Office Address

Phone No.  Fax No.

Website

Sub Broker SEBI Regn. No. NSE (For CM Segment)    -

Sub Broker SEBI Regn. No. BSE (For CM Segment)    -

## Introduction (Optional)

The details furnished by Applicant is true to the best of my knowledge and belief.

Name

Address

Relation with clients

Phone No.

Relation with TM.

Existing Trading A/c.

Existing DP Account : **BO ID No.**  **1 2 0 2 8 9 0**

Introducer Status :  Sub Broker  Ramiser  Autorised Person  Existing Client  Others

Date

Signature

(Introducer Signature)  
In case of Firm, Corporate  
please affix company seal

## (For Office Use Only)

Registration Date :

Client Code :

Client BO ID No. :  **1 2 0 2 8 9 0**

*This space is intentionally kept blank*



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



Application No. :

Please fill in ENGLISH and in BLOCK LETTERS with black ink

**FIRST HOLDER**

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

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

Name

Father's/Spouse Name

2. Gender  Male  Female  Trans Gender

C. Date of Birth

B. Marital status  Single  Married  Others \_\_\_\_\_

**XX F16**

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

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

5. PAN 



 Please enclose a duly attested copy of your PAN Card

Unique Identification Number (UID)/Aadhaar No.

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

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

**PHOTOGRAPH**

Please affix the recent passport size photograph and sign across it

(Please see guideline 'D' overleaf)

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

1. Address for Correspondence

City / Town / Village										Pin Code				
State					Country									

2. Contact Details

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

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

Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Aadhar (UID)  Others (Please specify) \_\_\_\_\_

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

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

City / Town / Village										Pin Code				
State					Country									

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

Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Aadhar (UID)  Others (Please specify) \_\_\_\_\_

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

6. Any other information \_\_\_\_\_

**DECLARATION**

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

Place:

Date:

**SIGNATURE OF APPLICANT**

**XX F17**

**FOR OFFICE USE ONLY**

IPV Done  on

AMC/Intermediary name OR code  
**SUSHIL FINANCIAL SERVICES PVT. LTD.**  
 (Originals Verified) Self Certified Document copies received  
 (Attested) True copies of documents received  
 Main Intermediary

Name of Employee: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Name of Organisation: \_\_\_\_\_  
 Signature: \_\_\_\_\_  
 Date: \_\_\_\_\_

Name of Employee: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Name of Organisation: \_\_\_\_\_  
 Signature: \_\_\_\_\_  
 Date: \_\_\_\_\_

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

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

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

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specially 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.
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7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

### D. Exemptions/clarifications to PAN

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

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

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

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



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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.

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

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**DP Details :** (Mandatory for Equity Segment)

**Default** (SUSHIL DP is mandatory for the E-Broking)

CDSL Client / B.O. ID

DP ID  DP Name

NSDL Client / B.O. ID  DP ID

DP Name

**Optional**

CDSL Client / B.O. ID

DP ID  DP Name

NSDL Client / B.O. ID  DP ID

DP Name

**Details of DP Scheme and Brokerage (Tariff)**

DP Scheme

Brokerage and Levies	Scheme Code	1st LEG (%)	MIN - 1st LEG Rs. / Paise	2nd LEG (%)	MIN - 2nd LEG Rs. / Paise	Min Brok. Amt. (Option)
Cash Trading Delivery	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Derivatives Trading Future Settlement	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Derivatives Trading Option Settlement	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Currency Trading Future Settlement	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
MFSS Trading Settlement	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
SLB Trading Settlement	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**# Bank Details :** (This will be default details For Trading Account of Sole / First Account Holder in whose name DP account will be open)  
**Default**

Bank Account Type :  Savings  Current  NRI  NRE  NRO  Others

Bank Name :

Bank Account No.  Account Opening Date   /   /

MICR Code  or MICR Code not available

IFSC Code (For NEFT / RTGS) :

Bank Branch Address

City :  State :

Pin Code :

**OPTIONAL**

Bank Account Type :  Savings  Current  NRI  Others

Bank Name :

Bank Account No.  Account Opening Date   /   /

MICR Code

IFSC Code (For NEFT / RTGS) :

Bank Branch Address

City :  State :

Pin Code :

*This space is intentionally kept blank*



## First Holder's Details

**Application Type**  New  Update

**Account Type**  Normal  Simplified  Small

**Status** **Sub-Status**

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> Individual       | <input type="checkbox"/> Individual Resident                            | <input type="checkbox"/> Individual-Director                    |
|   | <input type="checkbox"/> Individual Director Relative                   | <input type="checkbox"/> Individual HUF / AOP                   |
|   | <input type="checkbox"/> Individual Promoter                            | <input type="checkbox"/> Minor                                  |
|   | <input type="checkbox"/> Individual Margin Trading Account 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)_____                  |
| <input type="checkbox"/> Foreign National | <input type="checkbox"/> Foreign National                               | <input type="checkbox"/> Foreign National - Depository Receipts |
|   |   | <input type="checkbox"/> Others (Specify)_____                  |

## Other Details

**Mother's Name:**

\*\*Educational Qualification:  Under Graduate  Graduate  Post Graduate  Professional

# Detail of any action taken/Pending/Initiated by SEBI / Stock exchange or any other regulatory Authority during last three years.  No Action taken  Action taken

Please give the details if any :.....

# Please provide valid documentary proof refer Checklist: **Mandatory for client in F&O/Currency Segment**

Nature of Business : (Products / Services Provided)

# **Gross Annual Income Details** (Please tick (✓)):

Below 1 Lac  1-5 Lac  5-10 Lac  10-25 Lac  > 25 Lacs **OR**

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

# **Occupation** (Please tick (✓) any one and give brief details):  Private Sector Service  Public Sector

Government Service  Business  Professional  Self Employee  Agriculturist

Retired  Housewife  Student  Forex Dealer  Others (Please specify) \_\_\_\_\_

**Proof of identity (POI) POI Number**

A - Passport Number  Passport Expiry Date / /

B - Voter id card

C - Driving Licence  Driving Licence Date / /

D - NREGA Job Card

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

F - Simplified Measures Account - Document Type code  Identification Number

**Address type**

Residential cum Busines  Residential  Business  Registered Office  Unspecified

# **Please tick**  Not Applicable  Politically Exposed Person  Related to a Politically Exposed Person

For definition of PEP, please refer guideline overleaf

# **Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (Please specify):**

Physical Contract Note  Electronic Contract Note

# **Any other information:** \_\_\_\_\_

Name of Employer (if employed) / Establishment (if self employed / business / professional / others)

Name of Employer /

Establishment

Designation

Address

City

Pin Code

State

Country

Tel. No.

Fax No.

\*\* Account Statement Required  Daily  Weekly  Fortnightly  Monthly

\*\* I / We authorised you to receive credits in my / our accounts without any instruction from me / us. [Default Yes]  Yes  No

\*\* Do you wish to receive dividend / interest directly into your bank account given above through ECS ?  Yes  No

\*\* I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (If not marked, the default option would be 'No')  Yes  No

\*\* I/We request you to send Electronic Transaction-cum-holding Statement at the email ID  Yes  No

\*\* I/We would like to share the email ID with RTA  Yes  No

\*\* I/We would like to receive the Annual Report  Physical  Electronic  Both Physical and Electronic  
(Tick the applicable box. If not marked the default option would be physical)

## Second Holder's Details

Application Type  New  Update

Account Type  Normal  Simplified  Small

## Other Details

Mother's Name:

\*\*Educational Qualification:  Under Graduate  Graduate  Post Graduate  Professional

# Detail of any action taken/Pending/Initiated by SEBI / Stock exchange or any other regulatory Authority during last three years.  No Action taken  Action taken

Please give the details if any :.....

# Please provide valid documentary proof refer Checklist: **Mandatory for client in F&O/Currency Segment**

Nature of Business : (Products / Services Provided)

# **Gross Annual Income Details** (Please tick (✓):

Below 1 Lac  1-5 Lac  5-10 Lac  10-25 Lac  > 25 Lacs **OR**

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

# **Occupation** (Please tick (✓) any one and give brief details):  Private Sector Service  Public Sector

Government Service  Business  Professional  Self Employee  Agriculturist

Retired  Housewife  Student  Forex Dealer  Others (Please specify)\_\_\_\_\_



# Gross Annual Income Details (Please tick (✓):

Below 1 Lac  1-5 Lac  5-10 Lac  10-25 Lac  > 25 Lacs **OR**

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

# Occupation (Please tick (✓) any one and give brief details):  Private Sector Service  Public Sector

Government Service  Business  Professional  Self Employee  Agriculturist

Retired  Housewife  Student  Forex Dealer  Others (Please specify)\_\_\_\_\_

**Proof of identity (POI) POI Number**

A - Passport Number

Passport Expiry Date |d|d|/|m|m|/|y|y|y|y|

B - Voter id card

C - Driving Licence

Driving Licence Date |d|d|/|m|m|/|y|y|y|y|

D - NREGA Job Card

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

Identification Number

F - Simplified Measures Account - Document Type code

Identification Number

**Address type**

Residential cum Business  Residential  Business  Registered Office  Unspecified

# Please tick  Not Applicable  Politically Exposed Person  Related to a Politically Exposed Person

For definition of PEP, please refer guideline overleaf

# Any other information: \_\_\_\_\_

Name of Employer (if employed) / Establishment (if self employed / business / professional / others)

Name of Employer / Establishment

Designation

Address

City

Pin Code

State

Country

Tel. No.

Fax No.

## **\*\*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, PJ. 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](mailto: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 with out 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 warranty 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.





## # DECLARATION

I/We have read the DP-BO agreement, including the Schedules there to and the terms & Conditions and agree to abide the Bye laws as are in force from time to time.

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/am/we are aware that I/we may be held liable for it.
2. I hereby consent to received information from Central KYC registry through SMS and Email on my registered Number and Email id.
3. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
4. I/We further confirm having read understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on stock broker's designated website, if any.
5. I/We hereby authorised you to authenticate my/our Aadhar number during process of my/our application for legitimate business purposes. I/We further authorise you to share my/our Aadhar related details/information with regulatory/statutory bodies as and when required.
6. I/We hereby declare that I/we do not have E-mail and Mobile Number (Applicable if E-mail and Mobile No. not provided).
7. I/We hereby declared that I/we are/were complied with and will continue to comply with FEMA regulations and other applicable laws as per the requirement (**Applicable for NRI clients**).
8. As I/We have submitted my/our address with P.O. Box No. as Permanent and/or Correspondence address hence I /We hereby undertake to provide our new residential address to Sushil Financial Services Pvt Ltd whenever there is a change in my/our residential address (**Applicable for NRI Clients**).

	First Name	Middle Name	Last Name
<b>* First Holder Name</b>	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
<b>** Second Holder Name</b>	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
<b>** Third Holder Name</b>	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>

<b>F18 XX</b> <p style="text-align: center;">*1st Holder Signature</p>	<b>S3 XX</b> <p style="text-align: center;">**2nd Holder Signature</p>	<b>T3 XX</b> <p style="text-align: center;">**3rd Holder Signature</p>
--	--	--

PLEASE SIGN ACROSS PHOTOGRAPH WITH BLACK INK ONLY

Place :

Date :



## NOMINATION FORM

I/We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

- I/We do not wish to nominate anyone for this demat account.
- I/We **nominate** the following persori/s who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

**CLIENT CODE :**

**NOMINEE REGISTRATION NO. :**

<b>BO Account Details:</b>															
Client Demat Account No.	1	2	0	2	8	9	0	0							
Name of the Sole / First Holder															
Name of Second Holder															
Name of Third Holder															

**Details of Nomination :**

Nominations Details:	Nominee-1	Nominee-2	Nominee-3
Nominee Name			
Address			
City State Pin			
PAN No.			
UID No.			
Phone / Mobile No.			
Email id			
Relationship with the BO			
Date of Birth of Nominee			
Percentage of Allocation of securities to Nominee			
*Residual of Securities (please tick any one of nominee. If not tick default will be given to first nominee)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>




**\*Note :** Residual securities: incase of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

**DETAILS OF GUARDIAN IF NOMINEE/HOLDER IS MINOR**

Name of Guardian			
Address of Guardian			
City State Pin			
Age			
Relationship of the guardian			
PAN No.			
<b>Guardian Signature</b>			

**BO's Signature**

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature	<b>F19</b> <b>XX</b> 	<b>S4</b> <b>XX</b> 	<b>T4</b> <b>XX</b> 

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

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

One witnesses shall attest signature(s) / Thumb impression (s).

**Details of the Witness:**

Names of Witness	
Address of Witness	
Signature of Witness	

**Details under FATCA and CRS (see instructions)**

(Please consult your professional tax advisor for further guidance on your tax residency, if required)

1. Name of the accountholder \_\_\_\_\_ Client Code: \_\_\_\_\_
2. PAN \_\_\_\_\_
3. Occupation Type :  Service  Business  Others-please specify \_\_\_\_\_
4. Nationality \_\_\_\_\_
5. City of birth \_\_\_\_\_
6. Country of birth \_\_\_\_\_
7. Tax residence declaration – tick any one, as applicable to you:
  - I am a tax resident of India and not resident of any other country
  - Or
  - I am a tax resident of the country/ies mentioned in the table below

Country #	Tax Identification Number%	Identification Type (TIN or Other%, please specify)

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

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

**Certification**

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

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

Signature **F20**   
**XX**

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

**FATCA Terms and Conditions**

**Details under FATCA-CRS/Foreign Tax Laws:** Towards compliance with tax information sharing laws, such as FATCA and CRS, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

## FATCA-CRS Instructions

If you are a US citizen or resident or greencard holder, please include United States in the foreign country information field along with your US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010.

\$It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

Please note that you may receive more than one request for information if you have multiple relationships with Sushil Financial Services Pvt. Ltd. or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA/ CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</li> <li>2. Non-US passport or any non-US government issued document <b>evidencing nationality or citizenship</b> (refer list below); <b>AND</b></li> <li>3. <b>Any one</b> of the following documents:               <ol style="list-style-type: none"> <li>a. Certified Copy of "Certificate of Loss of Nationality or</li> <li>b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth</li> </ol> </li> </ol>
Residence/ mailing address in a country other than India	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>
Telephone number in a country other than India	<p><b><i>If no Indian telephone number is provided</i></b></p> <ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol> <p><b><i>If Indian telephone number is provided along with a foreign country telephone number</i></b></p> <ol style="list-style-type: none"> <li>1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; <b>OR</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>
Standing instructions to transfer funds to an account maintained in a country other than India (other than depository accounts)	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>
Power of attorney/ signatory authority granted to a person with address in a country other than India	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>

List of acceptable **documentary evidence** needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body\*
2. Valid identification issued by an authorized government body\* (e.g. Passport, National Identity card, etc.)

\* **Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.**

To,  
**Sushil Financial Services Private Limited**  
 Regd. Office: 12, Homji Street,  
 Fort, Mumbai - 400 001.

1) **Sub : Authority Letter for Running Account** Yes  No

1. I/We hereby state that I/we are aware of the norms relating to Pay-in & Pay-out of Funds and Securities. In order to facilitate operations and banking convenience, I /We hereby authorize you to maintain my/our account, both Funds and Securities with you on a running account basis instead of daily settlement of Funds and Securities due to me/us. Further, the Pay-out of Funds and Securities may be retained by you for the purpose of margins/exposures/collateral/any other obligations due to you and you may charge the cost of holding securities to my/our account with you. I/We also understand and agree that any credit amount lying with you will not attract any interest.
2. On my/our specific request you may release the Funds and Securities due to me/us. If I/we have any outstanding obligations on the settlement date, you may retain the requisite Funds and Securities towards such obligations and may also retain the funds expected to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
3. I/We hereby agree that you will settle my/our account of Funds and Securities at least once in a calendar quarter/month. While settling the account you will send, in physical or electronic form, the "Statement of Funds and Securities" including the details of retained Funds and Securities and the pledge, if any. I/we agree to bring to your notice any dispute arising from the Statement of Funds and Securities or settlement within 7 working days from the date of receipt of Funds and Securities or Statement of Funds and Securities, failing which it is agreed by me/us that the Statement of Funds and Securities as issued by you is proper and correct.

My/Our preference for actual settlement of Funds and Securities is at least:

Once in a Calendar Quarter  Once in a Calendar Month

4. I/we hereby agree that above stated periodic settlement of running account is not required in case I/we avail margin trading facility or for funds given by me/us towards collaterals/margin in the form of Bank guarantee (BG)/Fixed Deposit Receipts (FDR).
5. I/We hereby consent and authorize you to also retain an amount of up to Rs. 10,000/- (Ten Thousand Only) or any other sum as may be permitted by SEBI / Exchanges from time to time, while settling my / our account. I/We understand and agree that no interest will be payable on the amount of funds retained by you as above.
6. I/We understand that I/we may revoke this Authority at any point of time, however, by giving written prior notice at your registered office.
7. I/We shall be liable for all losses, damages and actions which may arise as a consequences 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 such Funds and Securities in this regard.



**4) Undertaking cum Authority Letter**

1. You are authorized to transfer money kept as Initial Margin to Mark to Market Margin or vice versa as and when required by you. I / We am/are also liable to pay special margin or such other margin, as considered necessary by you or the Exchange from time to time.
2. I/We authorize you to charge interest at the rate as 18% p.a. for any delay in the payment of obligation, margin or any other sums due to you.
3. I/We authorize you to pledge/deposit my/our securities given as collateral with the exchanges/clearing corporation/clearing house towards margin to facilitate my/our transactions in the normal course of securities business.
4. I/We request you to consider my/our telephonic or Oral or SMS or any other electronic mode instructions for order placing/order modification/order cancellation as a written instruction and give us all the confirmation on telephone or Oral or SMS or any other electronic mode unless instructed otherwise in writing. I/We am/are getting required details from contract issued by you.
5. I/We agree that the you shall not be liable or responsible for non execution of the orders placed through trading terminals/website or through any other mode due to the failure of any system or link or any other reason whatsoever and I/We understand that you reserve the right of refusing to execute any particular transaction.
6. I/We acknowledge receipt of intimation with regards to your business volumes comprising of client as well as proprietary trades.
7. I/We acknowledge receipt of the Cash, Future & Options and Currency Derivatives Risk Disclosure Documents and have understood the same.

**5) Authority letter for Adjustment of funds and securities in Different Segment & Exchanges**

Yes       No

I/We shall be buying/selling/trading in securities, derivatives, currency instruments or mutual funds across various segments of various Exchanges through your company and for the consideration thereof, shall have to make payments and a situation may emerge when accounts may show a debit balance in my/our running account with a segment of an Exchange and a credit balance in my/our running account with another segment of an Exchange. With a view to efficiently utilize the funds, you are hereby authorized to transfer the surplus funds from one segment to another segment of an Exchange/your company, whenever the need arises.

I/We further authorize you to adjust/appropriate any/all my/our delivery of securities on inter- settlement basis for all the instances where any/all securities purchased by me/us are still lying with you on my/our account. I / We agree that such inter settlement adjustment may be in the same Stock Exchange or across the Exchanges.

Your company shall have right of lien on the credit balance/securities on hold, if any, in my/our accounts maintained with you. Any entries passed by you in accordance with this authorization shall be binding on me/us.

**6) Disclosure for information for pro account trading.**

I acknowledge the receipt of information given above by **M/s. Sushil Financial Services Pvt. Ltd.** that they do client based trading and Pro-Account trading.



**7) Client Defaulter Declaration**

I / We do hereby declare that I have not been involved in any terrorist activity and I have not been declared as defaulter or my name is not appearing in defaulter database as per SEBI / Various Exchanges / Regulatory bodies / CIBIL / (Credit Information Bureau of India Ltd.) / United Nation Securities Council etc.

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

**8) Sub: Securities Trading Using Wireless Technology**

Yes  No

I / We am / are registered as your client and agreed to policy & procedure as prescribed by Sebi for Internet based trading for the purpose of trading in the Capital Market segment, Futures & Options segment of Bombay Stock Exchange Ltd. and National Stock Exchange Ltd.

I / We am / are interested in carrying securities trading through use of wireless technology which shall include devices such as mobile phone, laptop with data card, etc using Internet Protocol (IP).

I / We understand that the terms and conditions applicable to Internet based trading will also be applicable to securities trading through use of wireless technology. I / We am / are made aware by you regarding all the possible risks, responsibilities and liabilities associated with securities trading using wireless technology.

I / We understand that you shall provide information with respect to the addresses of Internet web site / web page where detailed information would be available about securities trading done through the use of wireless technology.

We agree that the information sent by you on your website would be deemed to be a valid delivery of such information by you. The gist of aforesaid information regarding order and trade confirmation shall also be provided to me / us on the device used for securities trading through the use of wireless technology. However detailed information will be available on your website.

I / We am / are aware that authentication technologies and strict security measures are required for the securities trading using wireless technology through order routed system and undertake to ensure that our password is not revealed to any third party.

I / We therefore request you to enable me / us for carrying securities trading through use of wireless technology.

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To,  
**Sushil Financial Services Private Limited**  
 Regd. Office: 12, Homji Street, Fort, Mumbai - 400 001.

**Sub: Mutual Fund Service System (MFSS) facility**

I/We am/are registered as your client and have agreed to policy & procedure as prescribed by Sebi for the purpose of trading in the Capital Market segment of Bombay Stock Exchange Limited (BSE) and National Stock Exchange of India Ltd. (NSE).

I/We am/are interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange.

For the purpose of availing the MFSS facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated 2nd December 2009 of BSE and 24th November 2009 of NSE and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the MFSS.

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**Sushil Financial Services Pvt. Limited**

**Depository Tariff Plan (Please select the scheme)**

**Mandatory for DP**

SCHEME	INVESTOR <input type="checkbox"/>	ECONOMY <input type="checkbox"/>	CLASSIC(Only with Auto Pay In POA) <input type="checkbox"/>	PREMIUM <input type="checkbox"/>
Particulars				
A ) Documentation charge	NIL	NIL	NIL	NIL
B ) Account maintenance**	Rs. 400/- (only First Year)	Rs. 300/-	Rs. 1049/-	NIL
Advance (Documentation + AMC) (A+B)	Rs. 400/-	Rs. 300/-	Rs. 1049/-	Rs. 3700/- (Rs.3300/-, be refunded on closing of the account)
Dematerialisation	Rs. 25/- per request +Rs. 3/- per certificate	Rs. 25/- per request +Rs.3/- per certificate	Rs.25/- per request +Rs. 3/- per certificate	Rs.25/- per request +Rs. 3/- per certificate
Transaction Charges				
Within SFSP Off Mkt. Transaction	Min Rs.15 or .04%	Min Rs.15 or .04%	Min Rs.15 or .04%	Min Rs.15 or .04%
Within SFSP On Mkt Transaction	Rs.25/- or .05%	Min Rs.10 or.04%	NIL	Rs. 15/-
Outside SFSP (Sell)	Min Rs.25/or .04%	Min Rs.25/or .04%	Min Rs.25/or .04%	Min Rs.25/- or .04%
Rematerialisation	35/-	35/-	35/-	35/-
Pledge Creation	35/-	35/-	35/-	35/-
Pledge Closure	35/-	35/-	35/-	35/-
Pledge Invocation	Nil	Nil		Nil
▶ Transaction and holding statement will be mailed once in a month FREE of cost				
▶ Statutory charges as applicable				
▶ Rates are subject to revision from CDSL		Additional Statement will be charge @Rs10 per request		
▶ For CORPORATE Accounts additional Rs.500/- P.A. will be charged for AMC"				

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To,  
**Sushil Financial Services Private Limited**  
Regd. Office: 12, Homji Street, Fort, Mumbai - 400 001.

Date :   /   /

Dear Sr,

**Subject : KYC Document Booklet & Declaration for opening Trading and Depository Account**

1. I/we have furnished all the details required in the KYC form as per SEBI/Exchange/DP requirements. I confirm having read/been explained and understood the contents of the KYC documents which are provided to me in separate booklet. The KYC document booklet includes the following:
  - a) Rights and Obligations of the parties (including additional rights and obligations in case of internet and wireless technology based trading) prescribed by SEBI and Stock exchanges
  - b) Uniform Risk Disclosure Documents (RDD) prescribed by SEBI and Stock exchanges
  - c) Guidance note detailing Do's and Don'ts for trading in the Stock Exchanges
  - d) Policies and Procedures as prescribed by SEBI)
  - e) Rights and obligation of Beneficial Owner and Depository participant as prescribed by SEBI and Depositories to clients
  - f) Instruction Checklist for opening both trading and demat account
  - g) Internet & Wireless Technology based Trading facility provided stock brokers to clients
  - h) General Information for both trading & demat account
  - i) KYC Document Booklet and Declaration
2. I/we understand and agree that any amendment/modifications as required by the exchanges/DP and/or regulators will be applicable to me at all point of time.
3. I/we understand that the KYC document booklet is in accordance of the exchanges and/or SEBI/DP requirements applicable for opening trading/DP account.
4. I/we have received the booklet with above mentioned contents.
5. I/we hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for termination and suitable action.
6. I/we confirm having read/been explained and understood the contents of documents in policy and procedure, Rights and obligations documents, Risk disclosure documents and demat tariff sheet and I/we do hereby agree to bound by such provisions as outlined in these documents. I/we have also been informed that a standard set of documents has been displayed for information on Stock Broker's / Depository Participant's designated website.
7. I/we have received and read copy of all above documents and agree to abide by the same and by the byelaws as in force from time to time.

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**XX**

\*1st Holder Signature

**S5**  
**XX**

\*\*2nd Holder Signature

**T5**  
**XX**

\*\*3rd Holder Signature





## Sushil Financial Services Private Limited

SINGLE SEBI Registration No.: INZ000165135

Member of Bombay Stock Exchange Ltd (BSEI)

Member of The National Stock Exchange of India Limited (NSEIL)

Member of Metropolitan Stock Exchange of India Ltd. (MSEI)

Depository Participant of Central Depository Services (I) Ltd. (CDSL)

SEBI Registration No.: IN-DP-CDSL-194-2002

## Sushil Global Commodities Private Limited

Single SEBI Registration No.: INZ000025633

Member of National Commodity And Derivative Exchange Limited (NCDEX)

Member of Multi Commodity Exchange of India Limited (MCX)

## Investor Services E-mail ID & Contact

Exchange	Email Id	Contact No.
NCDEX	ig@ncdex.com	022-66406789
MCX	grievance@mcxindia.com	022-66494070/66494000
BSE	is@bseindia.com	022-22728517
NSE	ignse@nse.co.in	18002660058
MSEI	investorcomplaints@msei.com	022-61129028/61129000

Regd. Off / Correspondence : 12, Homji Street, Fort, Mumbai 400 001. India

Tel.: + 91-022-40936000 Fax: 91-22-2266 5758 Email: info@sushilfinance.com Website: www.sushilfinance.com

Grievance Email : compliance@sushilfinance.com

Name of Compliance Officer : Mr. Suresh Nemani

Email: suresh.nemani@sushilfinance.com

Tel.: +91-22-40935000