

# Individual Account Opening Form (Demat)



**ProStocks** (ProStocks is Trade Name of Sunlight Broking LLP)

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

Sr. NO.	DOCUMENT	SIGNIFICANCE	PAGE(s)
1	Account Opening Form	KYC form - Document captures the basic information about the constituent and an instruction/check list for filling KYC form.	1-2
2	Demat Account Related Details	Document captures the additional information about the clients relevant to Demat Account	3-7
3	Tariff Structure	Document detailing the charges levied for availing DP Services.	7
4	Demat Debit and Pledge Instruction	A Written document in which one person (the principal) appoints another person to act as an agent on his or her behalf, thus conferring authority on the agent to perform certain acts or functions on behalf of the principal.	8-9
5	Declaration	NRI Declaration	9
6	Intimation of money laundering	This document is to make the client aware of Anti Money Laundering (AML) Provisions.	9
7	Rights and Obligations of Beneficial Owner & Depository Participant	Document stating the Rights & Obligations of Depository Participant and Client for availing DP Services.	11-12
8	SMS Alerts from CDSL	Terms And Conditions-cum- Registration/ Modification Form for receiving SMS Alerts from CDSL	13-14
9	Terms & Conditions for doing transaction using Trust	Terms and Conditions for doing transaction using secured texting facility (Trust) through mobile.	15-16

**NOTE : USE SEPARATE KRA FORM FOR SECOND AND THIRD HOLDER**

## REGISTERED OFFICE ADDRESS



### Sunlight Broking LLP

327 Govindam Tower, Old RTO Road, Gandhi Nagar, Bhilwara, Rajasthan, India 311001

### Compliance Officer

**Mr. Saurabh Ranka**

**Telephone:** +91-22-62434343

**Email:** compliance@prostocks.com

### CEO

**Mr. S P Toshniwal**

**Telephone:** +91-22-62434343

**Email:** spt@prostocks.com

## MUMBAI OFFICE ADDRESS



**ProStocks**

### Sunlight Broking LLP

B-50, Pravasi Industrial Estate, Goregaon (E), Mumbai - 400063

**Telephone:** +91-22-62434343

**Email:** sales@prostocks.com

**SEBI Regn. No.:** INZ000048660

**Registration Date:** May 06, 2016

**BSE:** Member code : 6635

**NSE:** Member code : 90084

**CDSL:** IN-DP-280-2016

### Clearing Member Information

IL&FS Securities Services Limited:

INF231133630, INF011133834, INE231308334

INE011311532 CIN: U74992MH2006PLC163337

For any grievance/ dispute please contact **ProStocks** at the above address and/ or email id: investorgrivances@prostocks.com and/ or Phone No. +91-22-62434343. In case you are not satisfied with the response, please contact the concerned exchange(s) at National Stock Exchange of India Limited at [ignse@nseindia.com and Phone No. 1800-220-058] and Bombay Stock Exchange Limited at [is@bseindia.com and Phone No. +91-22-2272-1234/33, Fax No. +91-22-2272-3677].

## QUICK CHECKLIST

- Affix passport size photograph on page no. 1 and sign across it. Sign all areas marked with '✍️'.
- Photocopy of PAN card and address proof with signature (not needed if registered on KRA).
- Photocopy of last 6 months bank statement (should be an active account with sufficient balance) or last year's Income Tax Return (ITR) or last 6 month's salary slip with signature.
- Copies of all other documents submitted should be self-attested.
- Cancelled cheque to link your primary banking account - if name not printed, please attach latest Bank Statement to validate the same.
- Name to be filled as per Income tax registration / PAN card.
- Address mentioned on the KYC form should match exactly as per proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- All signatures should be as per your PAN Card (If it is not as per PAN card a declaration letter is required).
- **Minor Details**
  1. Birth certificate.
  2. Proof of address and identity documents of the Guardian as per list A and B above.
  3. One passport size photograph of minor, guardian and each of the applicant with their signatures across the photograph. (Guardian will sign across the photograph of Minor)
- **NRI (All Mandatory)**
  1. PAN Card.
  2. Proof of foreign address and Indian address (if any). In case of an NRI a/c. without repatriation (NRO) proof of Indian add. has to be given.
  3. Bank A/C details (Indian).
  4. Power of Attorney, If any.
  5. Copy of Passport (Full set).
  6. A declaration duly signed by the NRI that he/she has complied with, and will continue to comply with, FEMA regulating and other applicable laws.
  7. Valid visa copy mentioning validity.

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

B-50, Pravasi Industrial Estate, Goregaon (E), Mumbai - 400063  
 Telephone: +91-22-62434343, Email: sales@prostocks.com

Please fill in ENGLISH and in BLOCK LETTERS with BLACK ink

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

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

Name Prefix First Name Middle Name Last Name  
 \_\_\_\_\_  
 Maiden Name (If any) \_\_\_\_\_  
 Father's/Spouse Name \_\_\_\_\_  
 Mother Name \_\_\_\_\_

2. Gender  Male  Female  Transgender B. Marital Status  Single  Married C. Date Of Birth \_\_\_\_/\_\_\_\_/\_\_\_\_

3. Nationality  Indian  Other \_\_\_\_\_ B. Country of Birth  Indian  Other \_\_\_\_\_

4. Status Please (✓)  Resident individual  Non Resident  Foreign National (Passport copy mandatory for NRI's & Foreign Nationals)

5. PAN \_\_\_\_\_ Please enclose a duly attested copy of your PAN Card

Unique Identification Number (UID)/ Aadhaar, if any \_\_\_\_\_

6. Proof of identity Submitted for PAN exempt Cases Please Tick (✓)

UID (Aadhaar)  Passport  Voter ID  Driving License  Other \_\_\_\_\_ Please see guideline 'D' overleaf) 1

**PHOTOGRAPH**  
 Please affix the Recent passport size photograph and Sigh across it.

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

**1. Address for Correspondence**

Line 1\* \_\_\_\_\_  
 Line 2 \_\_\_\_\_  
 City/ Town/Village\* \_\_\_\_\_ District \_\_\_\_\_ Pin Code\* \_\_\_\_\_  
 State\* \_\_\_\_\_ Country\* \_\_\_\_\_

**2. Proof of Address to be provided by Applicant. Please Submit ANY ONE of the following valid Document & tick (✓) against the document attached.**

Passport  Ration Card  Registered Lease/Sale Agreement of Resident  Driving License  Voter Identity Card  \*Latest Bank A/C Statement/Passbook  
 \*Latest Telephone Bill (Only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Other \_\_\_\_\_

\* Not more than 3 Months old Validity/Expiry Date of address Submitted. \_\_\_\_/\_\_\_\_/\_\_\_\_

**3. Contact Details**

Tel (Off) (ISD)(STD) \_\_\_\_\_ Tel (Res) (ISD) (STD) \_\_\_\_\_  
 Mobile No. \* (ISD) (STD) \_\_\_\_\_ Fax (ISD)(STD) \_\_\_\_\_  
 Email ID\* \_\_\_\_\_

**4. Permanent Address of Resident Application If different from above B1 OR Overseas Address (Mandatory) For Non-Resident Applicant.**

Line 1\* \_\_\_\_\_  
 Line 2 \_\_\_\_\_  
 City/ Town/Village\* \_\_\_\_\_ District \_\_\_\_\_ Pin Code\* \_\_\_\_\_  
 State\* \_\_\_\_\_ Country\* \_\_\_\_\_

**5. Proof of Address to be provided by Applicant. Please Submit ANY ONE of the following valid Document & tick (✓) against the document attached.**

Passport  Ration Card  Registered Lease/Sale Agreement of Resident  Driving License  Voter Identity Card  \*Latest Bank A/C Statement/Passbook  
 \*Latest Telephone Bill (Only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Other \_\_\_\_\_

\* Not more than 3 Months old Validity/Expiry Date of address Submitted. \_\_\_\_/\_\_\_\_/\_\_\_\_

**DECLARATION**

I/We 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/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered 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 sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

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

**SIGNATURE OF APPLICANT**

2

**FOR OFFICE USE ONLY**

IPV Done  on \_\_\_\_/\_\_\_\_/\_\_\_\_

**ProStocks (Sunlight Broking LLP)**

- (Originals Verification) Self Certified Document Copies received.
- (Attested) True Copies of documents received Main Intermediary

Verified in Person \_\_\_\_\_  
 Name of the organization: \_\_\_\_\_  
 Staff / AP / SB / Name: \_\_\_\_\_  
 AP / SB Reg. No.: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Signature \_\_\_\_\_

**Seal/Stamp  
 Of the intermediary**

# INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

## A. IMPORTANT POINTS

- Self attested copy of PAN card is mandatory for all clients.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OClCard 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:

- 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).
- Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
- Identity card/document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

## C. Proof of Address (POA): List of documents admissible as Proof of Address: (\*Documents having an expiry date should be valid on the date of submission.)

- Unique Identification Number (Aadhaar) / Passport / Voters Identity Card / Ration Card / Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance Bill / Insurance Copy.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co- Operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary public/Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar

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

Copy of latest ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip not more than 2 months old / Copy of Form 16	Net worth certificate duly certified by Chartered Accountant
Bank account statement for last 6 months	Any other relevant documents substantiating ownership of assets.
Self declaration of Net Worth (Assets-Liabilities) with relevant supporting documents for each item mentioned in declaration.	

- Council etc. to their Members.
- For FII/sub account, Power of Attorney given by FII/subaccount to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse 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.

## ADDITIONAL IMPORTANT POINTS

### F. General

- All correction made on the form should be attested (counter signed) by the client.
- Please ensure that the form is properly filled up, complete in all respects, attached with copies of required documents, and incase any filled is "Not Applicable" please mentioned accordingly.
- All correspondence/queries shall be addressed to the first/sole applicant.
- If the signature on the form and the proof provided differs, the form will be liable for rejection.

### G. Any one of the following documents for proof of Bank Account.

- Copy of a cancelled Cheque Leaf with name of the account holder preprinted on it.
- Bank pass book having name and address of the account holder and latest transaction pages being not more than 3 months old.
- Bank statement having name and address of the account holder being not more than 3 months old.  
In case of option (ii) and (iii) above MICR/IFSC code of the branch should be present/mentioned on the document and it should be self certified by the BO.

### H. Any one of the following document for proof of Demat account.

- DP client Master List with DP stamp or logo (not more than 6 months old)
- Recent Demat Holding Statement which must contain specific Client ID, Client Name, DP ID and DP Name. (not more than 6 months old)

### I. In case of NRI & Foreign National (allowed to trade subject to RBI and FEMA guidelines), additional documents to be obtained from them, over & above the POI & POA, as mentioned below:

- Permission for dealing in Securities (PIS approval) from Authorized Dealer (Bank) with NRE/ NRO Bank proof.
- Declaration duly signed by the NRI as per the format attached

## DEMAT ACCOUNT RELATED DETAILS

### A. BANK ACCOUNT DETAILS

Name of the Bank	
Branch Address & Tel. No.	
Bank Account No.	
Bank Code (9 digit MICR Code)	
Account Type (Savings/Current/Others in case of NRI-NRE/NRO/PIS)	
IFSC Code (11 digit IFSC Code)	

### B. ADDITIONAL DETAILS

Occupation ( Please tick (✓) any one and give brief details): <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others (Please Specify) _____
Name of Employer / Establishment
Address of Employer / Establishment
Educational Qualification
Gross Annual Income Details Please tick (✓) : <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> > 25 Lacs <b>OR</b> Net-worth in ₹ (*Net worth should not be older than 1 year) as on (date)   d   d   /   m   m   /   y   y   y   y
Please tick, if applicable : <input type="checkbox"/> Politically Exposed Person <input type="checkbox"/> Related to a Politically Exposed Person
Any other Information : _____

### C. OTHER DETAILS

<b>Whether the Mobile number provided by you is used by you and belongs to :</b> <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents
<b>Whether the Email ID provided by you is used by you and belongs to :</b> <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents
<b>Additional FATCA detail</b>
➤ Nationality <input type="text"/> ➤ Country Of Residence <input type="text"/>
➤ Country Of Birth <input type="text"/> ➤ Country of Tax Residence <input type="text"/>
➤ In case even one of 4 above are other than INDIA or Indian, Applicant need to fill the FATCA annexure. ➤ Similarly, If contact number is other than +91 or Address is other than India than FATCA annexure is must.

## INSTRUCTION TO OPERATE DEMAT ACCOUNT

Status	Sub – Status
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Others (specify) <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Individual Margin Trading A/C (MANTRA) <input type="checkbox"/> Minor
<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 – Depository Receipts <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify)

I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit] If not marked, default option would be 'Yes'	<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 instruct the DP to accept all the pledge instructions in my / our account without any further instruction from my / our end (if not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to Share the Email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No

I / We would like to receive the annual report <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic (Tick the applicable box : If not marked the default option would be in Physical)
I/We request you to send Electronic Transaction / Cum Holding statement at Email ID <input style="width: 200px;" type="text"/> (as given in KRA)

Basic Services Demat Account Facility <input type="checkbox"/> Yes (Please sign the BSDA Declaration) <input type="checkbox"/> No	
I/We wish to receive dividend/interest directly in to my bank A/c 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 Mobile No. _____	
Refer Terms & Conditions on page no. 12-13 (Mandatory, If you are giving Power of Attorney, 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

Transactions Using Secured Texting Facility (TRUST).  Refer to Terms and Conditions on page no. 14-15	I /We 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.  I/We wish to register the following clearing member IDs under my / our below mentioned BO ID registered for TRUST	<input type="checkbox"/> Yes <input type="checkbox"/> No									
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 33%;">Stock Exchange Name / ID</th> <th style="width: 33%;">Clearing Member Name</th> <th style="width: 33%;">Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)							
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)									

Easi, To register for easi, Please visit our Website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . Easi allows a BO to view this ISIN balance transactions and value of the Portfolio, online.	
I wish to opt for CAS Facility through Email	<input type="checkbox"/> Yes <input type="checkbox"/> No

<p><b>DIS BOOK OPTION (Select Any One)</b></p> <p>OPTION 1 <input type="checkbox"/></p> <p>I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account though I/We have issued a Power of Attorney (POA) in favor of ProStocks for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member.</p> <p>OR</p> <p>OPTION 2 <input type="checkbox"/></p> <p>I/We do not require Delivery Instruction Slip (DIS) for time being. Since I/We have issued a POA in favor of ProStocks for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.</p>
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**JOINT DEMAT ACCOUNT HOLDER INFORMATION**

<input type="radio"/> Second Holder's Details	PAN		UID	
<b>FIRST NAME</b>		<b>MIDDLE NAME</b>		<b>LAST NAME</b>
<input type="radio"/> Third Holder's Details	PAN		UID	
<b>FIRST NAME</b>		<b>MIDDLE NAME</b>		<b>LAST NAME</b>
<b>CONSENT FOR COMMUNICATION TO BE RECEIVED</b>				
<input type="checkbox"/> FIRST HOLDER	<input type="checkbox"/> SECOND HOLDER	<input type="checkbox"/> THIRD HOLDER	<input type="checkbox"/> ALL HOLDER	
<b>MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS</b>				
JOINTLY <input type="checkbox"/>			ANYONE OF THE HOLDER <input type="checkbox"/>	

**DETAILS OF GUARDIAN IF FIRST / SOLE DEMAT ACCOUNT HOLDER IS MINOR**

<b>Name of the Guardian</b>	<b>FIRST NAME</b>	<b>MIDDLE NAME</b>	<b>LAST NAME</b>
Relationship with the applicant		PAN	



## DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my 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.
3. I/We further confirm having read, received and understood the contents of the,
  - i. Rights and Obligations of the Beneficial owner and Depository Participant (Page No. 10-11).
  - ii. Terms and Condition for doing transaction using secured texting facility (Trust) through mobile. (Page No. 12-13).
  - iii. Terms And Conditions-cum- Registration/ Modification Form for receiving SMS Alerts from CDSL (Page No. 14-15).

and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action. I have also been informed that the standard set of documents has been displayed for information on website www.ProStocks .com

Name of Sole / First Holder Or Guardian (in case of minor)	Name of Second Joint Holder	Name of Third Joint Holder
to be signed in BLACK ink	to be signed in BLACK ink	to be signed in BLACK ink
✍ 3 First/Sole Holder / Guardian (In case of Minor)	✍ Second Holder	✍ Third Holder
WITNESSES 1 Full Name & Address		WITNESSES 2 Full Name & Address
✍ Signature of 1st Witness		✍ Signature of 2nd Witness

### SCHEDULE-A DEPOSITORY TARIFF STRUCTURE FOR INDIVIDUAL

<b>Advance / Deposit :</b> Rs.1000/- Refundable Deposit against Charges			
<b>Scheme Name:</b>		<b>Annual Maintenance Charges :</b>	
<b>Transaction Charges : ( On Market Trades)</b>		Sell (Debit) Rs.20/-per ISIN	
<b>Transaction Charges : (Off-Market Trades)</b>		Sell (Debit) 0.02% or Rs.20/- whichever is higher	
<b>Demat 50/- Per Setup</b>	<b>Remat 50/- Per Setup + CDSL Charges</b>	Courier charges per Demat/Remat/Demat Rejn.Rs50/-	
<b>Pledge / Unpledge / Pledge invocation Request 50/- Per Setup</b>			
<b>Periodic Statement</b>	a. By Email Free	b. Physical	Rs.50/- (Courier Charges)
<b>Adhoc / Non Periodic Statement Requests</b>	a. By Email Rs.10/- per request	b. Physical	Rs.50 per request upto 10 pages. Every additional page at Rs. 5+ Rs.50/- (Courier)
<b>Delivery instruction</b>	a. First Delivery Instruction Book Free (10 Leaves)	b. Every Addl Booklet (10 Leaves)	Rs.100/-
<b>Cheque Bounce Charges</b>	Rs.250/-	Failed Transactions	Rs.50 per ISIN Modification in CML Rs. 25/- per request
<b>KRA Upload / Download</b>	Rs. 50/-	CAS Facility through Email is charged Rs- 0.50 per month, if opted.	

#### NOTE :

For all purposes the bill date shall be construed as the date of demand and the bills will be considered as the bill cum notice for payment and Sunlight Broking LLP. reserves the right to Freeze Depository account for debit transaction in case of non payment of charges after two days from the bill date. Interest @ 13% p.a will be charged on the outstanding bill amount if not paid within the due date. The above tariff is subject to change. Changes if any will be intimated 30 days in advance. GST will applicable on all above charges.

✍ 4 to be signed in BLACK ink

First Holder

✍

Second Holder

✍ to be signed in BLACK ink

Third Holder

## Trading and Demat Account Modification Form

### Sunlight Broking LLP

Mumbai Office: B50, Pravasi Estate, Goregaon Mulund Link Road, Goregaon East Mumbai  
400063 Tel No: +91-22-62434343 Email: [support@prostocks.com](mailto:support@prostocks.com)

SEBI Regn. No.: INZ000048660 INDP2802016 | BSE Member code: 6635 | NSE Member code: 90084 | CDSL DP ID: 12083200

Trading Code		Date	D	D	M	M	Y	Y	Y	Y
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Please fill all the details in Block Letters in English

DP ID								Client ID							
-------	--	--	--	--	--	--	--	-----------	--	--	--	--	--	--	--

#### Account Holder's Details

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

I/We request you to register limited purpose DDPI to operate our Demat Account

I/We request you to make the following additions to my/our account in your records.

Details	Addition/ Modification	Existing Details	New Details
Addition of DDPI limited purpose	Addition	Nil	As per attached DDPI

Attach an Annexure (with signature(s)) if the space above is found insufficient.

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

..... (Please Tear Here) .....

#### Acknowledgement Receipt

Received Account Details Addition/ Modification request as per details given below:

Application No.		Date	D	D	M	M	Y	Y	Y	Y
DP ID		Client ID								
Name of the Sole/ First Holder										
Name of Second joint Holder										
Name of Third joint Holder										
Modification requested for: [Specify reason]		Addition of DDPI								

**Depository Participant Seal and Signature**

**Demat Debit and Pledge Instruction – VOLUNTARY**

These additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker/ trading member and the client. The same are required in order to ensure running on a day to day basis between the stock broker/ trading member and the client. The client need not execute this document if he / she does not wish to. The client has the right to terminate the document. Any such clause introduced shall stand null and void if they dilute the responsibility of the stock broker or is in conflict with any of the clauses in the mandatory documents, Rules, Bye-laws, Regulations, Notices, Guidelines and Circulars issued by SEBI and the stock exchanges from time to time.

To,  
SUNLIGHT BROKING LLP

(As Per SEBI circular SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated 04-April-2022 and  
SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2022/137 dated 06-Oct-2022 as amended)

Name of the Sole / First older		Client Demat ID		UCC
S.No.	PURPOSE	SignatureBO1	SignatureBO2	SignatureBO3
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 stockbroker			
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			
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms			
4.	Tendering shares in open offers through Stock Exchange platforms			

Place:

Date:

**Annexure - Recipient account/s**

(As Per CDSL Communiqué ref. CDSL/OPS/DP/SYSTM/2022/332 dated 14-June-2022 as amended)

SUNLIGHT BROKING LLP – Demat Account details Please refer [www.prostocks.com](http://www.prostocks.com) for updated Demat Account Number

NSE POOL ACCOUNT	IN30278310010489	BSE POOL ACCOUNT	IN30278310010472
NSE POOL ACCOUNT	1208320000000039	BSE POOL ACCOUNT	1208320000000011
TM/CM CLIENT SECURITIES MARGIN PLADGE	1208320000076107	CUSPA ACCOUNTS	1208320000137064

## NRI DECLARATION

( This page is applicable to only NRI client )

To

KYC Department  
**ProStocks**

Dear Sir

With reference to my/our trading and or demat account, kindly note that I have complied and shall continue to comply with Foreign Exchange Management Act 1999 and the rules and regulations issued there under and other applicable laws In addition to the above kindly note our foreign residential address is as follows:

Residential address of 1st holder: \_\_\_\_\_

Residential address of 2nd holder: \_\_\_\_\_

Residential address of 3rd holder: \_\_\_\_\_

In case of any change in the above I/We would update ProStocks by complying with the applicable procedure.

Thanking you,

Yours faithfully,

 6 to be signed in BLACK ink

First Holder

 k

Second Holder

 nk

Third Holder

**Dear Investor!!**

### **Subject: Prevention of Money Laundering**

Money laundering is a process of making dirty money clean. Money is moved around the financial system again and again in such manner that its origin gets hidden.

It involves complex chain of activities whereby huge amount of money generated from illegitimate activities like selling of narcotic drugs, extortion, corruption, illicit dealing in weapons, human trafficking, etc. is put through a series of process so that it comes out at the other end as clean and legal money. Terrorist organizations encourage money laundering to support their illegal acts.

It is important to note that due to increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge the duties cast on us under the applicable laws or we becoming an instrument or a part of the chain, even if unknowingly or ignorantly, may invite trouble.

In order to fight against the money laundering and terrorist financing the Prevention of Money Laundering Act (PMLA) was brought into force w.e.f. July 1, 2005 in India. Guidelines were also issued in the context of the recommendations made by the Financial Action Task Force on anti money laundering standards. Compliance with these standards has become imperative for international financial relations.

PMLA is applicable to every intermediary registered with Securities Exchange Board of India (SEBI), which includes a Member broker / Sub-Broker, Authorized Person and any other intermediary associated with securities market.

As per the provisions of PMLA, the intermediaries are required to comply with Know Your Client (KYC) norms, conduct ongoing client due diligence to ensure that the activity being conducted in any account is consistent with the intermediary's knowledge of the client, its business and risk profile.

In light of the above, you are requested to provide the information or documents evidencing source of funds, income tax returns, bank records, demat holding, etc. at the time of registration as a client with us or subsequently whenever asked for during the course of your dealings with us.

For further details, kindly visit our website: [www.ProStocks.com](http://www.ProStocks.com)

## Receipt of Account Opening Form

To,

KYCTEAM

ProStocks

B50, Pravasi Industrial Estate, Goregaon (E),

Mumbai - 400063 Telephone: +91-22-62434343

Email: sales@prostocks.com

Dear Sirs,

Re: Account Opening Form No. \_\_\_\_\_

This has reference to my/our captioned Account Opening Form which I / we have submitted to you duly filled up along with all the supporting documents.

I/We hereby acknowledge the receipt of copy of the Account Opening Form , all the mandatory and voluntary client registration documents.

Thanking you,

Yours truly,

Name of the client:

Client Signature (7)





# Stock Holding Corporation of India Limited

Registered office : 301, Center Point, Dr. Babasaheb Ambedkar Road, Parel, Mumbai – 400012

CIN : U67190MH1986PLC040506

Visit us at : [www.shcilestamp.com](http://www.shcilestamp.com)

VER 5.1 130315

## e-Stamping Application Form

Application Date	/ /20	( Tick any one) <input type="checkbox"/> Registerable <input type="checkbox"/> Non-Registerable
Document Description	Article	Stamp Duty Amount ₹ Indian Rupees only

### Property Description (not exceeding 100 characters)

Property Description (not exceeding 100 characters)	
Consideration of Property	₹

### First Party Details (name not exceeding 50 characters)

Name																		
Address																		
Phone	PAN											Pin Code						

### Second Party Details (name not exceeding 50 characters)

Name																		
Address																		
Phone	PAN											Pin Code						

### Stamp Duty Payment Details (name not exceeding 50 characters)

Stamp Duty Purchased by												
Stamp Duty Paid by ( Tick)	<input type="checkbox"/> 1st Party	<input type="checkbox"/> 2nd Party	Type of Payment	<input type="checkbox"/> Cash	<input type="checkbox"/> Cheque	<input type="checkbox"/> DD	<input type="checkbox"/> Pay-Order	<input type="checkbox"/> NEFT	<input type="checkbox"/> RTGS	<input type="checkbox"/> Account to Account Transfer		
Stamp Duty Paid by - Gender ( Tick)	<input type="checkbox"/> Male	<input type="checkbox"/> Female	<input type="checkbox"/> Jointly paid by Male & Female	<input type="checkbox"/> Others								

Cheque / DD / Pay-Order / NEFT / RTGS / Account Details			Cash Deposit		₹
Bank Name	Branch Name	Cheque /DD /PO /UTR /REF/Account No.	Deno.	Pieces	
			1000 X		
			500 X		
			100 X		
			50 X		
			20 X		
			10 X		
			5 X		
Rupees ( in Words ) :			2 X		
			1 X		
			<b>Total</b>		

- Please submit the duly filled and signed form along with stamp duty amount at the e-Stamping counter
- Stamp Duty amount should be rounded off to the nearest Rupee
- The correctness of Article type and Stamp Duty amount cannot be confirmed at the e-Stamping counter
- Once the e-Stamp is generated no modifications/changes are possible, so carefully check the preview of the e-Stamp and only then sign the preview
- Once the e-Stamp has been generated, payment cannot be cancelled or refunded by StockHolding. For cancellation you need to get in touch with the Competent Authority at the Stamp Office appointed by the State Government
- Cancellation charges are applicable as levied by the State Government

I have read and understood the above instructions and the Information given by me in this form is true to the best of my knowledge and belief.

Name of the Party/ Representative:

Signature:

(For Office use only)

I verify that the Application Form is in order

To be filled by **USER**

To be filled by **SUPERVISOR**

<b>SUBIN</b>	Certificate Number	<b>IN</b>
Signature	Signature	
Stamp Certificate received by	Name:	Signature:

### StockHolding e-Stamping

### Receipt

(To be filled in by the client)

Stamp Duty Purchased By	Stamp Duty Paid by	<input type="checkbox"/> 1st Party	<input type="checkbox"/> 2nd Party
Stamp Duty Amount ₹	Type of Payment	<input type="checkbox"/> Cash	<input type="checkbox"/> Cheque
		<input type="checkbox"/> DD	<input type="checkbox"/> Pay-Order
		<input type="checkbox"/> RTGS	<input type="checkbox"/> Account to Account Transfer
Cheque/ DD/ PO/ UTR/ REF/Account No.	Date:	/	/20
Bank Name	Branch Name		
Counter Signature with Seal			

CIN : U67190MH1986PLC040506

## CONSENT LETTER FOR AVAILING BSE StAR MF FACILITY

TO:



**Sunlight Broking LLP**

B-50, Pravasi Industrial Estate, Goregaon (E),  
Mumbai - 400063 Telephone: +91-22-62434343  
Email: sales@prostocks.com

I/We \_\_\_\_\_ am/are registered as your client with Client Code No. \_\_\_\_\_ and have executed the Account Opening documents (KYC Form) for the purpose of trading in the Capital Market segment of BSE Limited (BSE).

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

For the purpose of availing the BSE StAR MF 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 BSE StAR MF 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 BSE Circular dated December 02, 2009 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India (SEBI) 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 BSE StAR MF.

I/We hereby confirm having read and understood the terms & conditions and disclosures provided overleaf.

Your faithfully,

20

\_\_\_\_\_  
First Holder

\_\_\_\_\_  
Second Holder

\_\_\_\_\_  
Third Holder

## Most Important Terms and Conditions (MITC) (For non custodial settled trading accounts)

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 a limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stockbroker. 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 Corporation(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, that are sold in your account for 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, net worth, 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 stockbroker, you can raise a grievance on the dedicated investor grievance ID of the stockbroker. 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.

Yoursfaithfully,

Client Signature (18) 

## Declaration for opting-out of nomination

TO:

 **Sunlight Broking LLP**

ProStocks

B-50, Pravasi Industrial Estate, Goregaon (E),  
Mumbai - 400063 Telephone: +91-22-62434343

Email: sales@prostocks.com

I / We hereby confirm that I / **We do not wish to appoint any nominee(s)** in my / our MF Folio/ 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 MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account.

 NOT APPLICABLE

\_\_\_\_\_  
First Holder

 NOT APPLICABLE

\_\_\_\_\_  
Second Holder

 NOT APPLICABLE

\_\_\_\_\_  
Third Holder

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

\*You can add nominee to your account online after the account is opened.

# VOLUNTARY CLIENT UNDERTAKING AND AUTHORISATION BY CLIENT AVAILING MARGIN THROUGH PLEDGE OF SECURITIES

TO:



**Sunlight Broking LLP**

B-50, Pravasi Industrial Estate, Goregaon (E),  
Mumbai - 400063 Telephone: +91-22-62434343  
Email: support@prostocks.com

I/We hereby state, confirm and authorize as follows:

## 1. Margin Requirement

I/We understand that under the rules, regulations, circulars and guidelines issued by SEBI, the Stock Exchanges, Depositories and other regulatory authorities, I/We am/are required to maintain adequate margin for positions taken in the cash and/or derivatives segments.

## 2. Maintenance of Margin

I/We agree to maintain the required margin at all times. In case of any shortfall due to mark-to-market losses, market volatility, revision in margin requirements, or any other reason, I/We shall promptly replenish such shortfall within the time prescribed by the Broker or the relevant Exchange.

## 3. Right to Invoke Pledge

In the event of margin shortfall, default, delay in payment, or failure to fulfill any trading obligation, I/We hereby irrevocably authorize the Broker to invoke the pledged securities without providing any further notice or intimation and to transfer such securities in its name as beneficial owner and sell / dispose off and credit my account with sale proceeds / dispose off amount / redemption amount.

## 4. Right to Liquidate / Square-Off

I/We further authorize the Broker, at its discretion and without further reference to me/us, to:

- Sell or liquidate the pledged securities; and/or
- Square-off any open positions, wholly or partially, in any segment

For the purpose of recovering outstanding dues, margin shortfall, losses, charges, interest or any other amounts payable by me/us.

## 5. Action in Urgent Market Conditions

I/We understand that in volatile or exceptional market conditions requiring immediate action to limit exposure or regulatory risk, the Broker may square-off positions and sell pledged securities without prior notice. I/We shall not hold the Broker liable for any resultant loss, provided such action is taken in compliance with applicable regulations.

## 6. Recovery and Continuing Liability

I/We agree that the proceeds from invocation and/or square-off shall be appropriated towards my/our outstanding obligations. I/We shall remain liable for any shortfall remaining after such adjustment.

## 7. Validity and Binding Effect

This authorization shall be read together with the Rights and Obligations document, Risk Disclosure Document and other agreements executed by me/us. This authorization shall remain valid until revoked in writing, subject to clearance of all outstanding dues.

I/We confirm that I/we have read, understood and agreed to the contents of this undertaking and authorization.

\_\_\_\_\_

First Holder

\_\_\_\_\_

Second Holder

\_\_\_\_\_

Third Holder