

Annexure I

Date: DD-MMM-YYYY

Name of the Trading Member and TM Code

Address details

Subject: Verification and Certification of KYC Compliance for the Sikkim based clients

This is with reference to Exchange circular reference no. NSE/ISC/53233 dated 08-AUG-2022, advising the trading members to obtain a certificate from the Auditor regarding the KYC re-confirmation with regard to appropriateness and completeness (as per the guidelines) of accepted/available KYC details and confirming the upload of correct UCC information in UCC database of the Exchange for the Sikkim based clients registered upto June 30, 2022.

In view of the above requirement, I / we hereby, state that the KYC re-confirmation has been undertaken by us on behalf of the trading member _____ (Trading Member name and code). The verification of all existing Sikkim based clients registered upto June 30, 2022, irrespective of their status (active / inactive) having permanent and/or correspondence address as Sikkim has been done by us. The KYC re-confirmation is conducted on the basis of existing KYC documents available with the details captured by the trading member at their end and Exchange UCC system.

The observations of the KYC re-confirmation of the Sikkim based clients is as shown below:

		A	B	C
Sr. No.	Particulars	Whether the address mentioned in the Exchange system is matching with the documentary proof	Is the discrepancy rectified by the client / trading member, as per the guidelines in the circular	Auditor comments
	Verification of the Correspondence and Permanent address	Yes / No	Yes / No / NA	
1				
2				

The list of clients for whom the address was not matching as per the documentary proof is attached as Annexure I.

Signature of the certifying authority